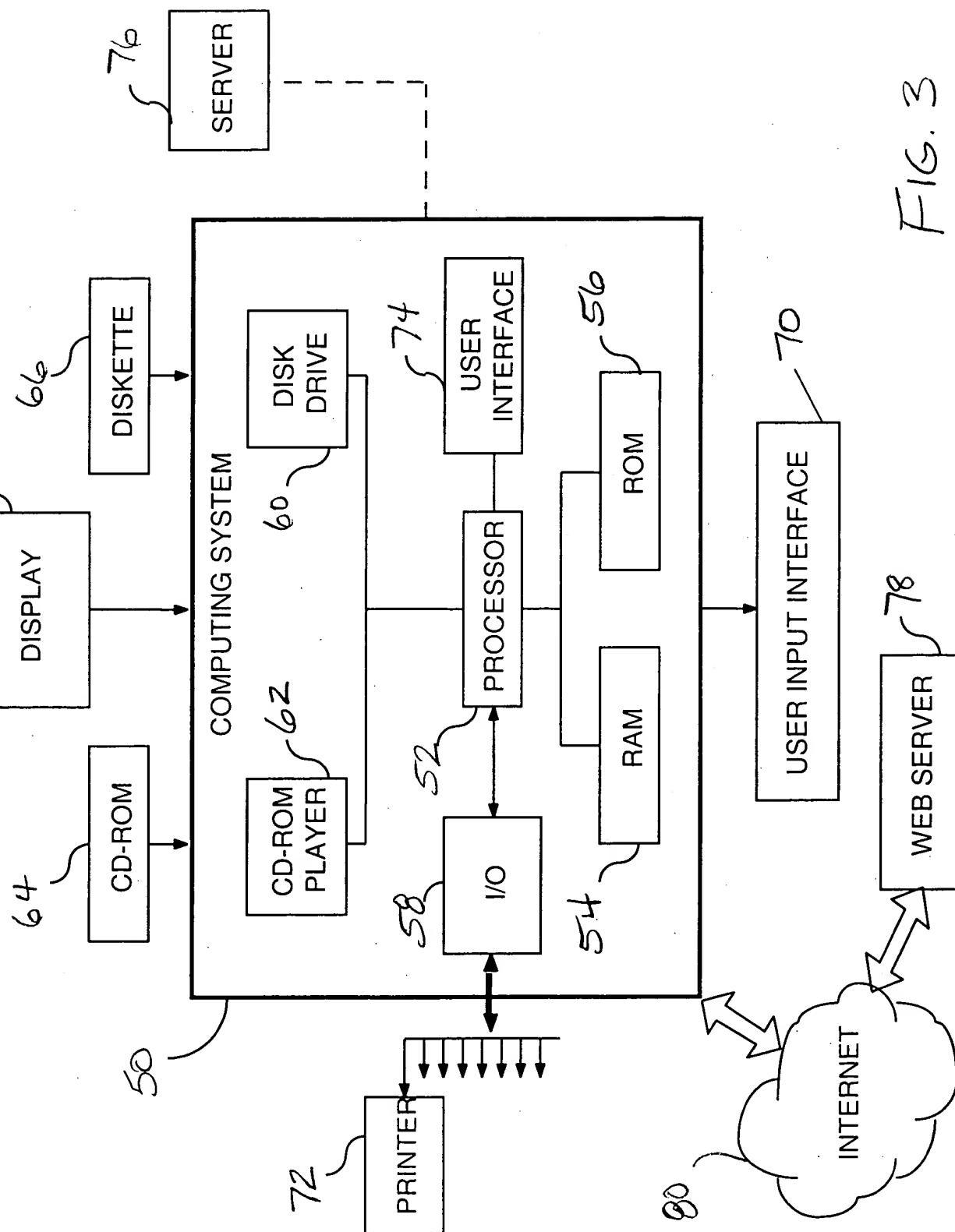


[illegible]

TRACE [X] [] [] [X]

File New Edit Output Utilities Data Transfer Setup Help

Select Plan Refresh

New Company [X]

Company Name ABC Company 120

122

OK Cancel

124

pank rights are: Admin Transfer Edit Print Reports Print Charts Import Export

FIG. 6

130

Company [X] [] [] [X]

Company Information

General | Trustee 134

Company Name ABC Company

State of Headquarters MN

Sponsor Contact Name Bob Smith

Title Vice President

Address 600 ABC Centre

Suite 450

City Minneapolis State MN Zip 55402

Phone Number (612) 123-4567

Fax Number (612) 123-4567

Stable Value Intermediary Superior Management Co.

Contact Name John Nelson

Title Principal

Address 1100 2nd Avenue South

Suite 650

City Minneapolis State MN Zip 55403

Phone Number (612) 796-1234

Fax Number (612) 796-1235

Relationship Multi-level Service

Date Hired 06/30/87

Discretionary ☒

Recordkeeper Hewitt Associates

132

142

144

146

148

150

152

Enter Plan Info

Notes

Internal Notes

Rename

Return to Menu

Help

131

FIG. 7

Company Company Information

General **Trustee** 134

Trustee Best Trust Company

Contact Name Joe Anderson

Title Trustee

Address 100 American Avenue
Suite 3200

City New York State NY Zip 60001

Phone Number 212-260-5000 140

Fax Number 212-260-5001

Ancillary Contact/Trustee Northern Trust

Contact Name Jett Smith

Title Trust Officer

Address 1200 Transfer Way
#250

City Chicago State IL Zip 55606

Phone Number 312-902-4004

Fax Number 312-902-4005

142 Enter Plan Info

144 Notes

146 Internal Notes

148 Rename

150 Return to Menu

152 Help

FIG. 8

TRACE File New Edit Output Utilities Data Transfer Setup Help

Select Plan Refresh

New Plan

Plan Name
ABC Employee Savings Plan 162

OK Cancel

164

160

planm rights are: Admin Transfer Edit Print Reports Print Charts Import Export

FIG. 9

170

Plan Name: ABC Employee Savings Plan

Plan Information | Contributions | Demographics | Investment Options | Loan Provisions | Guidelines | Returns | General | Data Release

Data is current as of: 12/31/93 mm/dd/yy 182

Legal Plan Name: ABC Company Supplemental Savings & Retirement Plan

Legal Contractholder Name: Best Trust Company as Trustee for ABC Employee Savings Plan

Common Plan Name: ABC Employee Savings Plan

Company Name: ABC Company

Industry: Transportation and Public Utilities

Tax ID Number: 41-9999999

Contribution Types: ☒ 401(k) ☒ Profit Sharing Plan ☐ 457 ☒ After Tax/Savings/Thrift ☐ 403(b) ☐ Defined Benefit

Explain Contribution Types: Profit Sharing contributions were added to the plan in June 1996.

Plan Year: 12/31 (mm/dd) Plan Inception Date: 06/30/86 (mm/dd/yy)

State of Issue: MN Ancillary State of Issue: NY Secondary/Ancillary State of Issue:

Recent and Pending Plan or Stable Value Portfolio Changes

Date	Type (Picklist)	Comment
01/01/95	Fund/Participant Accounting	Moved to daily valuation
01/01/90	Investment Options	Added a Balanced Fund managed by American Express
01/01/92	Investment Options	Added Indexed S&P 500 managed by Vanguard
01/01/93	Investment Options	Added Int'l Equity Fund managed by J.P. Morgan

180

New Contract

Notes

Internal Notes

Delete

Rename

Excel Viewer

Word Viewer

Return to Menu

Help

FIG. 10

170

Plan Name: ABC Employee Savings Plan

Plan Information | Contributions | Demographics | Investment Options | Loan Provisions | Guidelines | Returns | General | Data Release

Maximum Employee Contribution Rate: 5 % Basic (as % of employee compensation)

Employer Contribution Match Rate: 50 % Basic (as % of employee contribution)

Contribution Description: The employer also makes an annual lump sum contribution in February based on earnings.

Vesting Schedule % vested after:

Immediate	%
1 yr	20 %
2 yrs	40 %
3 yrs	60 %
4 yrs	80 %
5 yrs	100 %
6 yrs	%
7 yrs	%

To enter or view a description of employer match rules and restrictions, click on the Notes button at the right of the screen.

Distribution Types Allowed: ☒ Annuities ☒ Immediate Lump Sum ☒ Installment ☒ Deferred Lump Sum

190

New Contract

Notes

Internal Notes

Delete

Rename

Excel Viewer

Word Viewer

Return to Menu

Help

FIG. 11

170

Plan Name: ABC Employee Savings Plan

Plan Information | Contributions | Demographics | Investment Options | Loan Provisions | Guidelines | Returns | General | Data Release

Eligible Employees ☒ Salaried Employees ☒ Non Salaried Employees

Number of Eligible Employees 200

Number of Participating Employees

Annual Payroll of Eligibles \$

Number of Inactive Employees in Plan

Inactive Employee Balance in Stable Value Option \$

Total Pre Tax Balance in Stable Value Option \$

Total Post Tax Balance in Stable Value Option \$

Description of Demographics

New Contract

Notes

Internal Notes

Delete

Rename

Excel Viewer

Word Viewer

Return to Menu

Help

FIG. 12

170

Plan Name: ABC Employee Savings Plan

Plan Information | Contributions | Demographics | Investment Options | Loan Provisions | Guidelines | Returns | General | Data Release

Total number of investment options 210

Maximum % fixed income allowed in balanced or conservative life cycle fund

Is the Stable Value fund the fixed income component of the balanced or conservative life cycle fund? ☒

Description of Options/Transfer

If yes, to describe or view an explanation of rebalancing frequency and methodology click on the Notes button at the right of the screen

Number of times per year allowed to reallocate future contributions

Number of times per year allowed to reallocate existing balances

Transfer Restriction Type

Restriction Period

How is wait or wash monitored?

Provisions for unique transfers

New Contract

Notes

Internal Notes

Delete

Rename

Excel Viewer

Word Viewer

Return to Menu

Help

FIG. 13

Plan

Plan Name: ABC Employee Savings Plan

Plan Information | Contributions | Demographics | Investment Options | Loan Provisions | Guidelines | Returns | General | Data Release

Maximum number of loans outstanding per employee

Minimum loan amount \$

Are in service withdrawals allowed? ☒

Are there penalties for these withdrawals? ☐

Description of Transfers/Loans

The loan rate is subject to change on an annual basis.

Loan rate

Loan repayment options

Loan repayment minimum term years

Loan repayment maximum term years

Loan repayment minimum (Residence) years

Loan repayment maximum (Residence) years

Total number of outstanding loans

Balance on outstanding loans from Stable Value option \$

Can participants select the fund option to withdrawal or repay loan? ☐

New Contract

Notes

Internal Notes

Delete

Rename

Excel Viewer

Word Viewer

Return to Menu

Help

FIG. 14

Plan Name: ABC Employee Savings Plan																																													
176																																													
<div style="display: flex; justify-content: space-between; padding: 5px;"> Plan Information Contributions Demographics Investment Options Loan Provisions Guidelines Returns General Data Release </div>																																													
<p>Minimum credit rating allowed at time of purchase: (for General Account products)</p> <p>Moody's Aa2</p> <p>Standard and Poor's AA+</p> <p>Duff and Phelps AAA</p>	<p>Minimum credit rating for wraps:</p> <p>Moody's Aa3</p> <p>Standard and Poor's AA+</p> <p>Duff and Phelps AA+</p>																																												
230																																													
<p>Does the plan have a more extensive credit matrix? <input checked="" type="checkbox"/></p>																																													
<p>Description of Policies: Along with Moody's and Standard and Poor's rating, each issuer is thoroughly evaluated using our internal credit methodology.</p>																																													
<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th style="text-align: center;">Minimum</th> <th style="text-align: center;">Maximum</th> <th style="text-align: center;">Targeted</th> </tr> </thead> <tbody> <tr> <td>Per General Account Issuer</td> <td style="text-align: center;">0 %</td> <td style="text-align: center;">25 %</td> <td style="text-align: center;">15 %</td> </tr> <tr> <td>Per Wrap Issuer</td> <td style="text-align: center;">0 %</td> <td style="text-align: center;">20 %</td> <td style="text-align: center;">10 %</td> </tr> <tr> <td>In Minimum Credit Rating</td> <td style="text-align: center;">0 %</td> <td style="text-align: center;">30 %</td> <td style="text-align: center;">10 %</td> </tr> <tr> <td>In Synthetics</td> <td style="text-align: center;">25 %</td> <td style="text-align: center;">65 %</td> <td style="text-align: center;">40 %</td> </tr> <tr> <td>In Marketable Securities</td> <td style="text-align: center;">0 %</td> <td style="text-align: center;">20 %</td> <td style="text-align: center;">10 %</td> </tr> <tr> <td>In Cash/Buffer</td> <td style="text-align: center;">5 %</td> <td style="text-align: center;">25 %</td> <td style="text-align: center;">10 %</td> </tr> <tr> <td>Non-Benefit Responsive</td> <td style="text-align: center;">0 %</td> <td style="text-align: center;">0 %</td> <td style="text-align: center;">0 %</td> </tr> <tr> <td>Maturing Quarterly</td> <td style="text-align: center;">5 %</td> <td style="text-align: center;">10 %</td> <td style="text-align: center;">3 %</td> </tr> <tr> <td>Maturing Annually</td> <td style="text-align: center;">20 %</td> <td style="text-align: center;">30 %</td> <td style="text-align: center;">25 %</td> </tr> <tr> <td>Constant Duration</td> <td style="text-align: center;">10 %</td> <td style="text-align: center;">30 %</td> <td style="text-align: center;">20 %</td> </tr> </tbody> </table>			Minimum	Maximum	Targeted	Per General Account Issuer	0 %	25 %	15 %	Per Wrap Issuer	0 %	20 %	10 %	In Minimum Credit Rating	0 %	30 %	10 %	In Synthetics	25 %	65 %	40 %	In Marketable Securities	0 %	20 %	10 %	In Cash/Buffer	5 %	25 %	10 %	Non-Benefit Responsive	0 %	0 %	0 %	Maturing Quarterly	5 %	10 %	3 %	Maturing Annually	20 %	30 %	25 %	Constant Duration	10 %	30 %	20 %
	Minimum	Maximum	Targeted																																										
Per General Account Issuer	0 %	25 %	15 %																																										
Per Wrap Issuer	0 %	20 %	10 %																																										
In Minimum Credit Rating	0 %	30 %	10 %																																										
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Non-Benefit Responsive	0 %	0 %	0 %																																										
Maturing Quarterly	5 %	10 %	3 %																																										
Maturing Annually	20 %	30 %	25 %																																										
Constant Duration	10 %	30 %	20 %																																										
<div style="display: flex; flex-direction: column; align-items: flex-end;"> <div style="margin-bottom: 10px;">New Contract</div> <div style="margin-bottom: 10px;">Notes</div> <div style="margin-bottom: 10px;">Internal Notes</div> <div style="margin-bottom: 10px;">Delete</div> <div style="margin-bottom: 10px;">Rename</div> <div style="margin-bottom: 10px; display: flex;"> <div style="border: 1px solid black; padding: 2px;">Excel</div> <div style="border: 1px solid black; padding: 2px;">Viewer</div> </div> <div style="margin-bottom: 10px; display: flex;"> <div style="border: 1px solid black; padding: 2px;">Word</div> <div style="border: 1px solid black; padding: 2px;">Viewer</div> </div> <div style="margin-bottom: 10px;">Return to Menu</div> <div>Help</div> </div>																																													

FIG. 15

170

Plan Name: ABC Employee Savings Plan

Plan Information | Contributions | Demographics | Investment Options | Loan Provisions | Guidelines | Returns | General | Data Release

Historical Stable Value Returns

Date	Monthly Returns	Quarterly Returns	Annual Returns	WAM	Effective Duration	Modified Duration	Moody's	S & P
01/31/98	0.5025	1.58	6.5	2.28	1.93		AA1	AA+
02/28/98	0.5114	1.59	6.58	2.11	1.76		AA1	AA+
03/31/98	0.5238	1.63	6.78	2.88	2.53		AA1	AA+
04/30/98	0.5075	1.57	6.47	2.13	1.78	1.88	AA1	AA+
05/31/98	0.4982	1.57	6.1	2.9	2.55	2.65	AA1	AA+
06/30/98	0.5062	1.61	6.41	2.51	2.16	2.26	AA1	AA+
07/31/98	0.5124	1.57	6.18	2.28	1.93	2.03	AA2	AA+
08/31/98	0.5083	1.54	6.43	1.85	1.5	1.6	AA1	AA+
09/30/98	0.5174	1.34	5.32	1.38	1.03	1.13	AA2	AA+
10/31/98	0.5066	1.49	6.25	2.22	1.87	1.97	AA2	AA+
11/30/98	0.5325	1.51	6.2	2.18	1.83	1.93	AA1	AA+
12/31/98	0.5398	1.55	6.48	2.05	1.7	1.8	AA1	AA+
01/31/99	0.4987	1.53	6.38	2.35	2	2.1	AA1	AA+

240

New Contract

Notes

Internal Notes

Delete

Rename

Excel Viewer

Word Viewer

Return to Menu

Help

FIG. 16

170

Plan Name: ABC Employee Savings Plan

Plan Information | Contributions | Demographics | Investment Options | Loan Provisions | Guidelines | Returns | General | Data Release

Maximum maturity of any one contract years

Targeted weighted average maturity of portfolio years

Minimum number of placements per year

Targeted number of placements per year

Stable Value Portfolio Crediting Method:

Management Type:

Payment Method:

Fee Basis:

Benefit Withdrawal Method:

Description of Withdrawal Methodology: The fund maintains a minimum of 5% in a buffer fund which would be used prior to tapping any contracts for benefit withdrawals.

Does the plan currently have non-benefit responsive contracts? ☐

Has the plan ever accessed a contract for benefits? ☐

Is the portfolio rate communicated in advance of elections? ☐

250

New Contract

Notes

Internal Notes

Delete

Rename

Excel Viewer

Word Viewer

Return to Menu

Help

FIG. 17

170

Plan Name: ABC Employee Savings Plan

179

Plan Information | Contributions | Demographics | Investment Options | Loan Provisions | Guidelines | Returns | General | **Data Release**

☐ Aetna

☐ AIG FP

☐ AIG Life

☐ Allstate Life

☐ Bank of America

☐ Bankers Trust

☐ Barclays Bank

☐ Bayerische Landesbank

☐ BMA

☐ Caisse des Depots

☐ Canada Life

☐ Chase Manhattan Bank

☐ Chemical Bank

☐ Citibank

☐ CNA Insurance

☐ Credit Suisse

☐ Deutsche Bank

☐ Diversified Financial Products

☐ First Allmerica Financial

☐ General Reinsurance

☐ Great-West Life

☐ Hartford Life

☐ Hueler Companies

☐ ING Institutional Markets

☐ Jackson National Life

☐ John Alden Life

☐ John Hancock

☐ Life of Virginia

☐ Lincoln National

☐ Massachusetts Mutual

☐ Metropolitan Life

Manager SN

Issuer SN

262

260

New Contract

Notes

Internal Notes

Delete

Rename

Excel Viewer

Word Viewer

Return to Menu

Help

FIG. 18

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General | **Data Release**

278

276

New Contract

Notes

Internal Notes

Delete

Rename

Excel Viewer

Word Viewer

Return to Menu

Help

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272

286

288

282

280

274

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FIG. 19

TRACE File New Edit Output Utilities Data Transfer Setup Help

Select Plan Refresh

ABC Employee Savings Plan New Contract

Contract Name: AIG FP B&H 300

Contract ID: 302

OK Cancel

304

plan rights are: Admin Transfer Edit Print Reports Print Charts Import Export

FIG. 20

Contract Plan: ABC Employee Savings Plan

Contract: 111234

General Contract Information | Maturity/Liquidity | Asset Detail

Contract ID	111234	
GA Number	111234	
Issuer/Wrapper	Rabobank Nederland	
Placement Date	01/30/1998	(mm/dd/yy)
Book Value \$	10,997,654	Value as of: 12/31/1998
Contract Rate	6.35 %	
Type of Contract	Synthetic B & H	
Interest Payment Method	Simple Quarterly	
Next Interest Payment Date	03/30/1999	(mm/dd/yyyy)
Interest Terms	Fixed	
Time Limit for Window	NA	
Dollar Window	<input checked="" type="checkbox"/>	
Single Lump Sum	<input checked="" type="checkbox"/>	

New Contract

Notes

Internal Notes

Delete

Rename

Return to Menu

Help

310

314 316 318

326

322

324

320

FIG. 21

310

Contract Plan: ABC Employee Savings Plan

Contract: 111234 316

General Contract Information | **Maturity/Liquidity** | Asset Detail

Maturity Type: **Natural Quarterly**

Duration: 3.7 years

Next Call/Put Date: (mm/dd/yyyy)

Multiple call/put dates? ☒

Expected Final Date (Natural contracts only): 06/30/2005 (mm/dd/yyyy)

Estimated Periodic Payment (Natural contracts): 280,000

Benefit Responsive? ☒

Do the benefit-responsive provisions of this contract conform with the global methodology? ☒

Participating: 100 %

Advance: %

Non-participating: %

Tier / LIFO order: Tier 3

Sequence: 2

322

330

Enter dates in mm/dd/yyyy format.

New Contract

Notes

Internal Notes

Delete

Rename

Return to Menu

Help

FIG. 22

310

Contract Plan: ABC Employee Savings Plan

Contract: 111234 318

General Contract Information | Maturity/Liquidity | **Asset Detail**

Market Value of Assets \$: 11,653,292

Rate Reset Frequency: Quarterly

Rate Reset Criteria: Index

Investment Manager:

Manager Benchmark:

Underlying Asset Detail

Asset Type (picklist)	% of Portfolio	Duration	Market Value	Moody's	S & P	CUSIP	CUSIP Description	Count
ABS Home Equity	100	3.4		AAA	AAA	603294LP1		

344

346

342

340

350

352

354

356

358

360

362

New Contract

Notes

Internal Notes

Delete

Rename

Return to Menu

Help

FIG. 23

TRACE File New Edit Output Utilities Data Transfer Setup Help

Select Plan Refresh

ABC Employee Savings Plan
 Clayton Gas and Electric EE SP
 Investment Guidelines
 New Clayton Mast

Cash Flow

Date: 12/31/1999 372

OK Cancel

pamk rights are: Admin Transfer Edit Print Reports Print Charts Import Export

FIG. 24

Cash Flow

Plan Name: ABC Employee Savings Plan

Date	EE Pre-Tax Contrib	EE Post-Tax Contrib	EE Rollovers	ER Contrib	Transfers In	Transfers Out	Net Loans	Disbursements	Other	Mem
11/30/97	556852	16899	6598	57184	193552	0	-61000	-250002	0	
12/31/97	209147	6274	0	24961	318327	0	50000	-365782	0	
01/31/98	203281	6098	0	29512	94566	0	-4000	-340535	-14000	
02/28/98	483171	14495	35650	23609	0	-1202225	-12000	-954035	0	
03/31/98	273515	8178	0	25535	0	-1494695	-56000	-964053	0	
04/30/98	249513	7497	0	22525	0	-637806	-14000	-209323	0	
05/31/98	252973	7589	0	142119	0	-1793222	-86000	-762282	0	
06/30/98	388695	11660	0	21671	0	-730213	10000	-745342	0	
07/31/98	246378	7391	0	22426	102494	0	-38000	-270024	0	
08/31/98	233458	7003	0	24004	0	-699023	-82000	-672554	9856	
09/30/98	224362	6730	0	0	0	-110174	5000	-160520	0	
10/31/98	256366	7630	0	0	0	-219398	-20000	-279497	0	
11/30/98	196115	5343	4578	0	209114	0	13000	-753158	0	
12/31/98	180601	5418	0	0	0	-1915452	-20000	-191754	0	

09/31/94 Employee Rollovers were extremely high as there were new employees entering the plan because of the merger between ABC and XYZ company.

Return to Menu Help

FIG. 25

TRACE File New Edit Output Utilities Data Transfer Setup Help

Select Plan Refresh

ABC Employee Savings Plan
 Clayton Gas and Electric EE SP
 Investment Guidelines
 New Clayton Master Tr

New Investment Option

New Investment Option

Fixed Income Fund 392

OK Cancel

390

394

plan rights are: Admin Transfer Edit Print Reports Print Charts Import Export

FIG. 26

Investment Options Plan Name ABC Employee Savings Plan

Fund Name Fixed Income Fund 404

Fund Type Stable Value/GIC

Date Fund Added 01/01/85

Employee Contribution ☒

Employer Contribution ☒

Transfer Restrictions ☒

Description of Options/Transfer Restrictions:

Large transfers were made into the Stable Value fund option between 6/30/98 and 9/30/98 because of transfers from the Equity Fund options.

Duration Policy Range 2.3 years

Current Duration 2.7 years

Investment Option Balances 408

12/31/95	
3/31/96	
6/30/96	
9/30/96	
12/31/96	136,879,129
3/31/97	136,777,666
6/30/97	134,752,340
9/30/97	138,009,829
12/31/97	120,323,768
3/31/98	126,298,153
6/30/98	127,222,654
9/30/98	138,654,374
12/31/98	140,523,412
3/31/99	
6/30/99	
9/30/99	
12/31/99	
3/31/00	
6/30/00	
9/30/00	

Next Investment Option

Notes

Internal Notes

Delete

Return to Menu

Help

400

402

406

FIG. 27

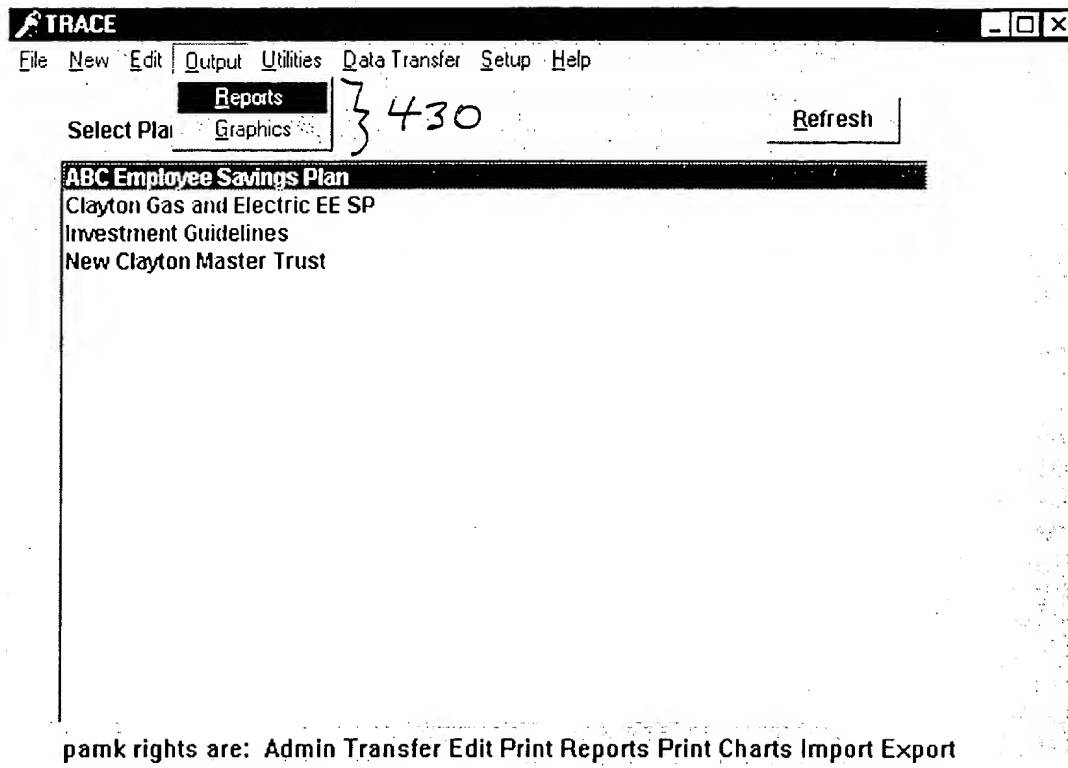


FIG. 28

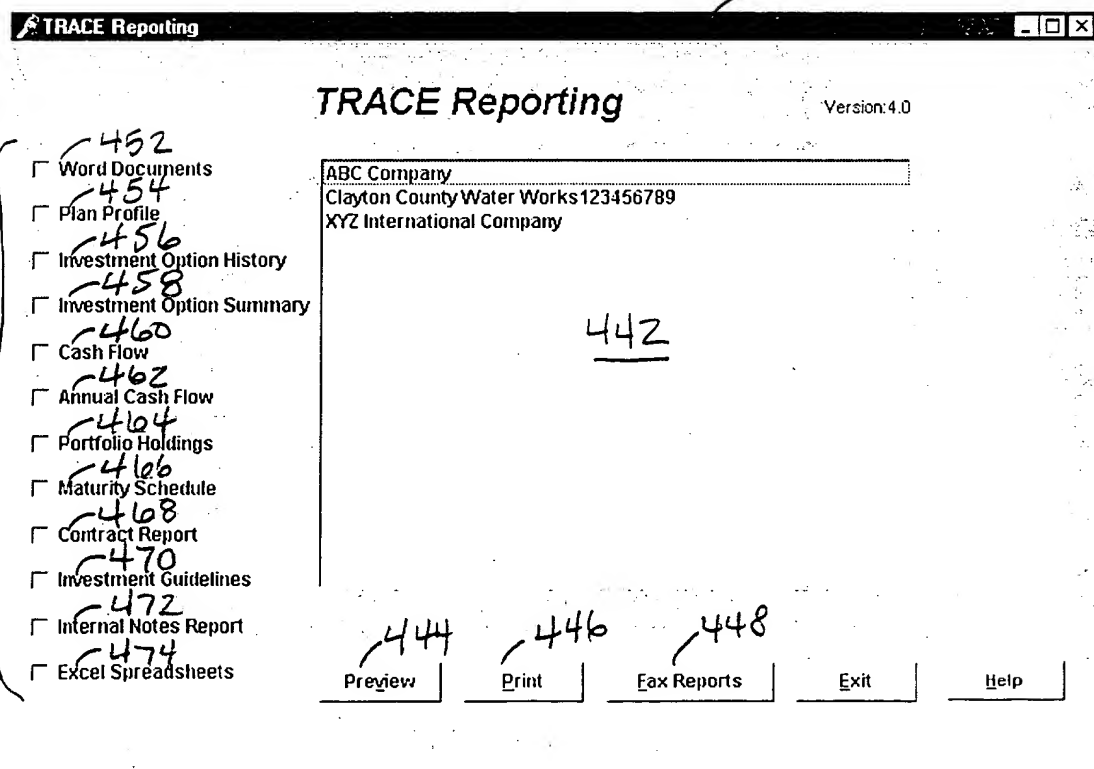


FIG. 29

TRACE Graphics

Version: 4.0

486
☐ Diversification by Contract Type

488
☐ Diversification by Credit - Moody's

490
☐ Diversification by Credit - S&P

492
☐ Diversification by Issuer

494
☐ Diversification by Maturity Type

496
☐ Diversification by Synthetic Asset

498
☐ Maturity Schedule

ABC Employee Savings Plan
 Clayton Gas and Electric EE SP
 Investment Guidelines
 New Clayton Master Trust

482

500

502

504

F16.30

TRACE

File New Edit Output Utilities Data Transfer Setup Help

Select Plan

ABC Employee Sav
Clayton Gas and El
Investment Guidelines
New Clayton Mast

Utilities

Calculator Ctrl+C
Delete Matured Contracts Ctrl+N
Delete Outdated Plans Ctrl+L
Delete Unused Companies Ctrl+D
Import Utility Ctrl+U
Export Utility Ctrl+E
Table Transfer Ctrl+B

Refresh

510

pank rights are: Admin Transfer Edit Print Reports Print Charts Import Export

F. G. 31

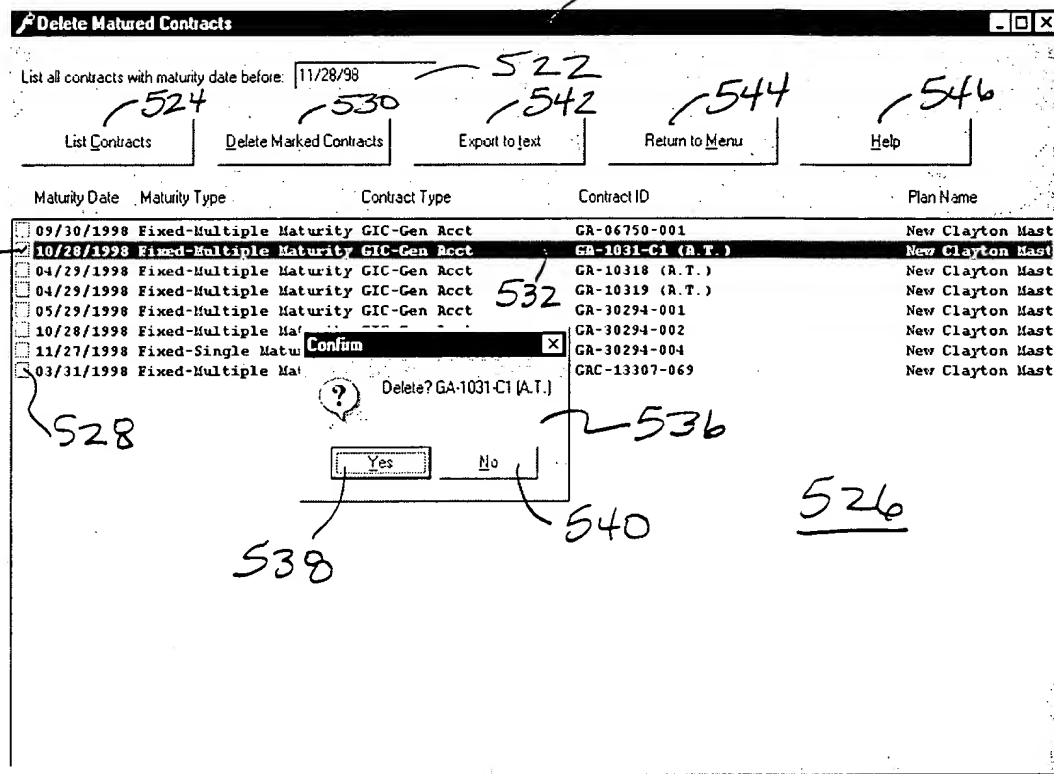


FIG. 32

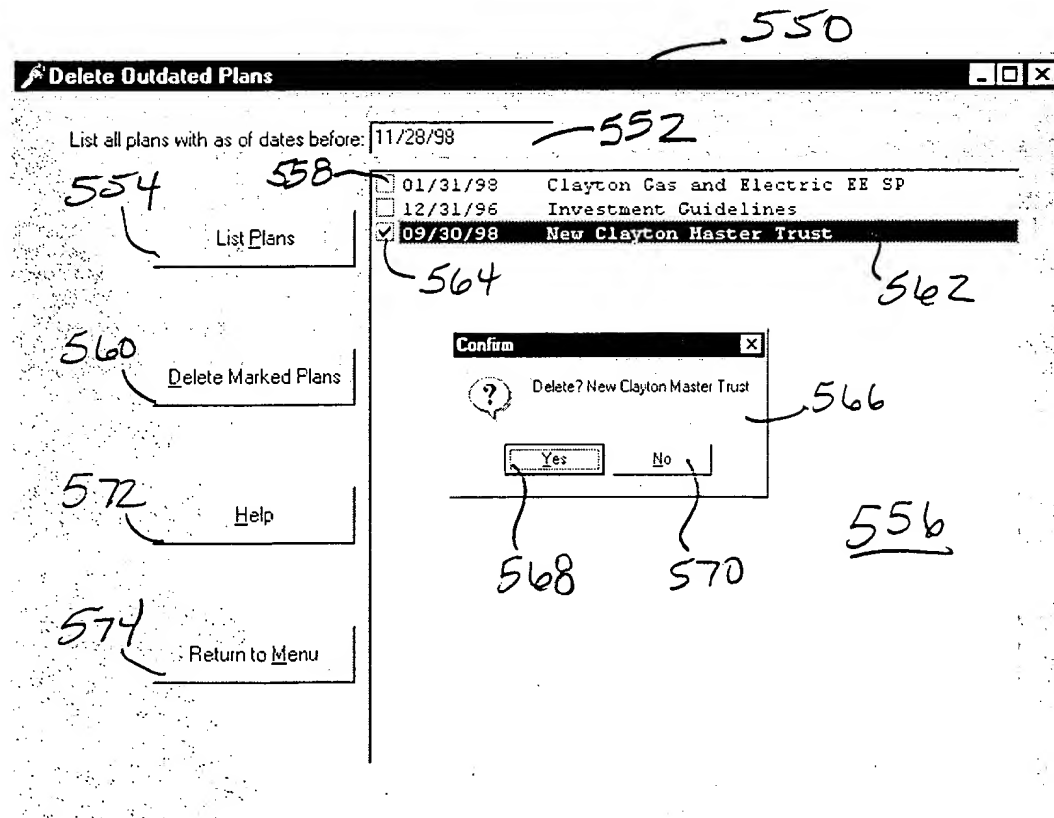


FIG. 33

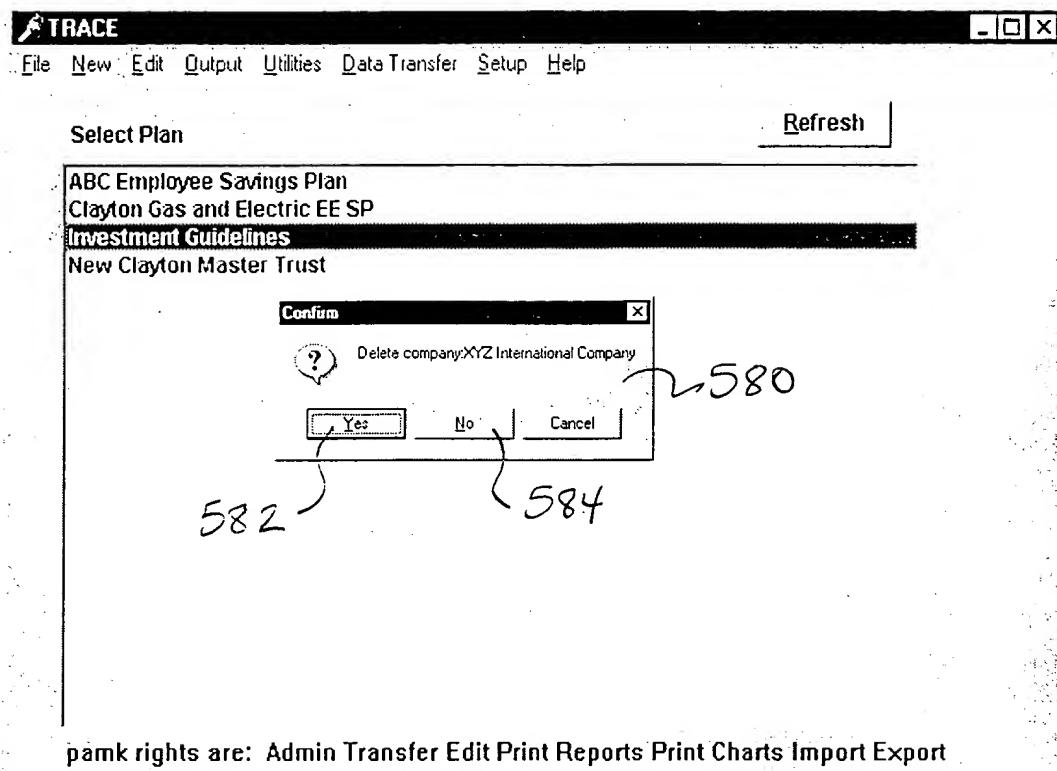


FIG. 34

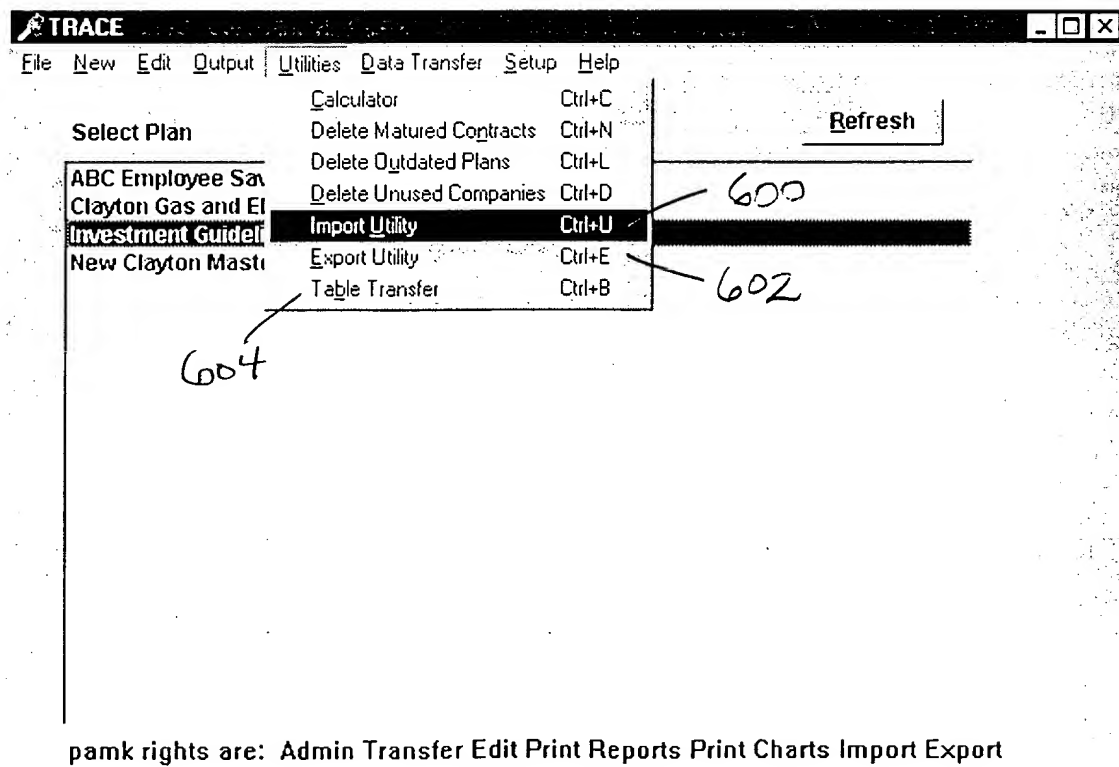


FIG. 35

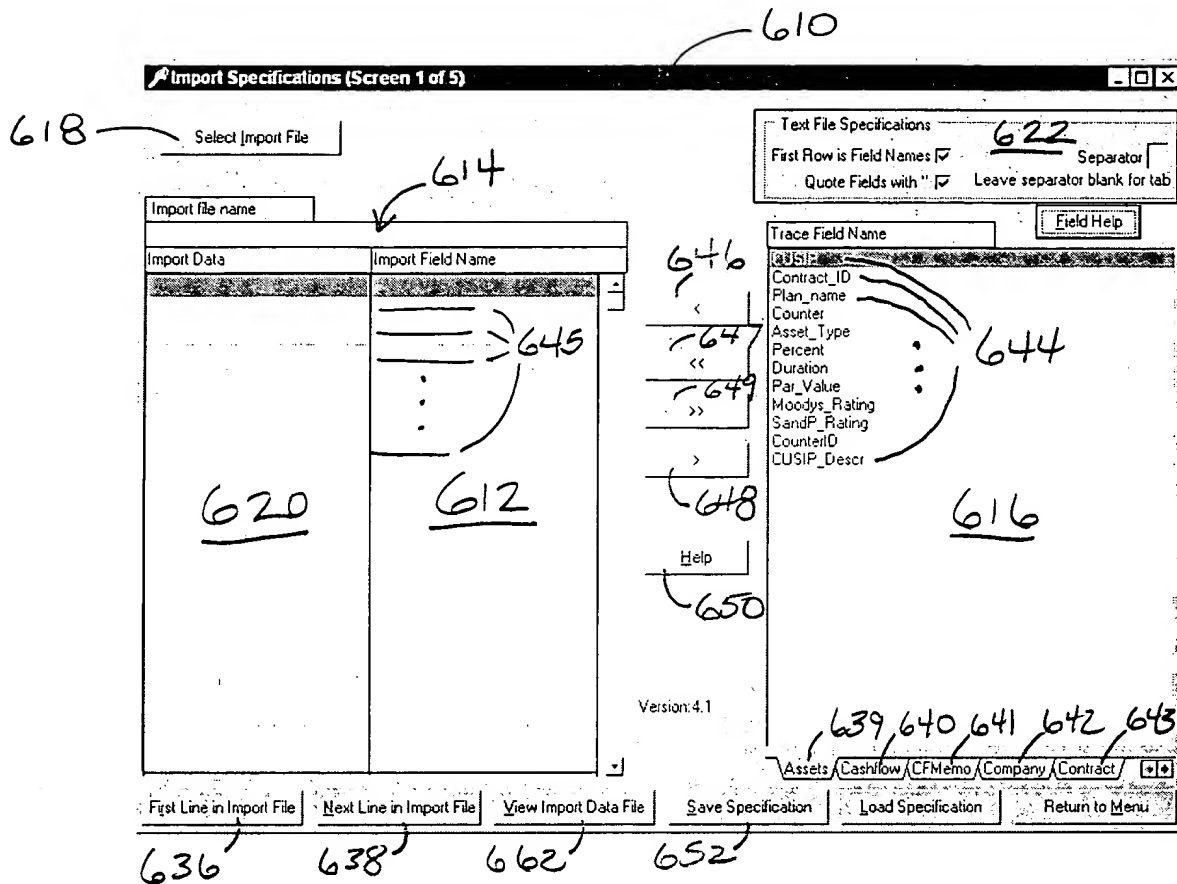
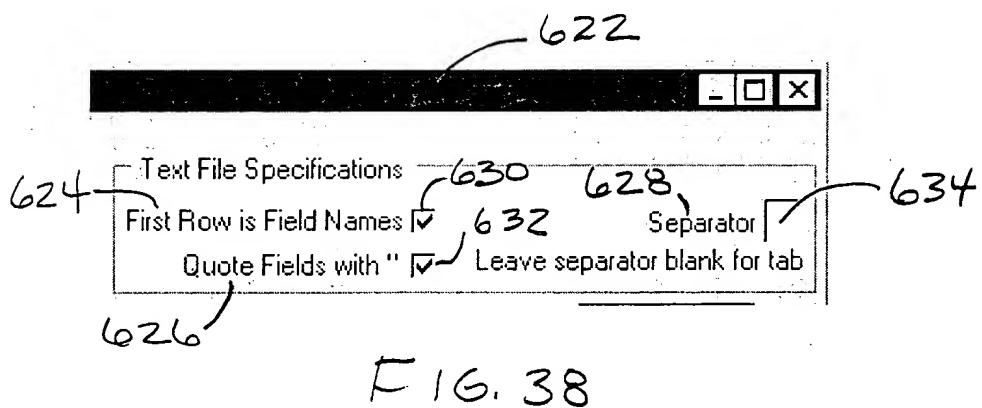


FIG. 36



```

graph TD
    700[GATHER FILE CHARACTERISTICS, INCLUDING DATA COLUMN ORDER AND NAMES, FIELD SEPARATOR TYPE] --> 702[SAVE IMPORT FILE AS TEXT FILE HAVING PREDETERMINED FILE EXTENSION]
    702 --> 704[SELECT IMPORT FILE TO BE IMPORTED]
    704 --> 706[ENTER FILE SPECIFICATIONS]
    706 --> 708[REVIEW FIRST LINE OF IMPORT FILE]
    708 --> 710{ADDITIONAL LINES NEED REVIEW?}
    710 -- YES --> 712[REVIEW NEXT LINE OF IMPORT FILE]
    712 --> 710
    710 -- NO --> 714[SELECT TABLE]
    714 --> 716[MATCH SYSTEM FIELD NAMES TO IMPORT FIELDS]
    716 --> 718{MORE TABLES?}
    718 -- YES --> 714
    718 -- NO --> 720[SAVE SPECIFICATION]

```

FIG. 37

610

Import Specifications (Screen 1 of 5)

Select Import File

Import file name
C:\Pro\TRACE\Data\ABC Cashflow.txt

Text File Specifications

First Row is Field Names ☒ Separator ☐
Quote Fields with " ☒ Leave separator blank for tab

Trace Field Name Field Help

Import Data	Import Field Name
Plan_name	Plan_name
Date	Date
EE_Contrib	EE_Contrib
EE_Post_Tax_Contrib	ER_Contrib
ER_Contrib	Transfers_In
EE_Rollovers	Transfers_Out
Transfers_In	Net_Loans
Transfers_Out	Disbursements
Net_Loans	EE_Post_Tax_Contrib
Disbursements	EE_Rollovers
Other	Other
Mat_Int_Payments	Mat_Int_Payments

Version: 4.0

Assets Cashflow CFMemo Company Contract

First Line in Import File Next Line in Import File View Import Data File Save Specification Load Specification Return to Menu

620 612 616 639 641 642 643 644

662 660

FIG. 39

750

View Import Text (Screen 2 of 5)

754 Check Data Previous Screen Field Help Help

752 →

Plan_name	Date	EE_Contrib	ER_Contrib	Transfers_In	Transfers_Out	Net_Loans	Disbursements	EE_Po
ABC Employee Savings Plan	03/31/1992	686730	9889	54847	0	0	-2810110	-34000
ABC Employee Savings Plan	04/30/1992	544794	16343.82	47948	0	45756	0	43000
ABC Employee Savings Plan	05/31/1992	531950	15958.5	47344	5129	0	-50756	-48000
ABC Employee Savings Plan	06/30/1992	640595	19217.85	50630	0	0	-206909	-28900
ABC Employee Savings Plan	07/31/1992	611314	18339.42	47765	0	0	-7748	0
ABC Employee Savings Plan	08/31/1992	553604	16608.12	52025	10985	31546	0	-85000
ABC Employee Savings Plan	09/30/1992	529075	15872.25	49649	0	106716	0	-8000
ABC Employee Savings Plan	10/31/1992	490867	14726.01	47046	0	101072	0	-30500
ABC Employee Savings Plan	11/30/1992	497023	14910.69	49061	45000	192961	0	-15000
ABC Employee Savings Plan	12/31/1992	502037	15061.11	50382	0	74350	0	17000
ABC Employee Savings Plan	01/31/1993	510517	15315.51	51791	0	342576	0	0
ABC Employee Savings Plan	02/28/1993	521282	15638.46	52882	35980	100633	0	0
ABC Employee Savings Plan	03/31/1993	567652	17029.56	55363	0	176163	0	-16400
ABC Employee Savings Plan	04/30/1993	557215	16716.45	54555	0	355370	0	10200
ABC Employee Savings Plan	05/31/1993	573031	17190.93	51075	5922	64539	0	29000

750

FIG. 40

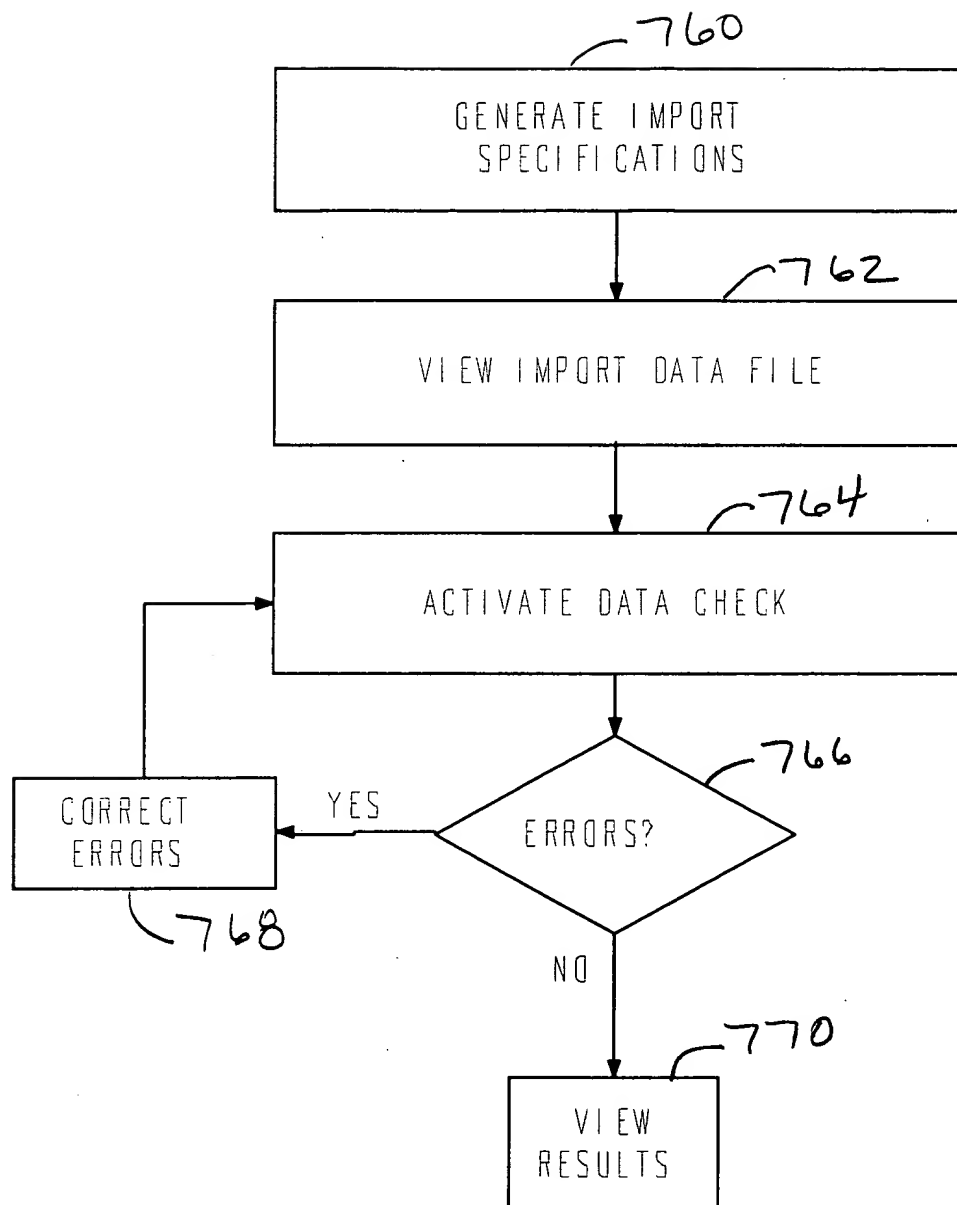
[illegible]

FIG. 41

800

Import Data Checked (Screen 3 of 5)

Landscape report of proposed import Portrait report of proposed import Previous Screen Field Help Help < > < >

810 812 0% 804 806 808

802 →

Plan_name	Date	EE_Contrib	ER_Contrib	Transfers_In	Transfers_Out	Net_Loans	Disbursement
ABC Employee Savings Plan	03/31/97	355983	10679	31979	0	497167	
ABC Employee Savings Plan	04/30/97	292030	8760	29149	0	588874	
ABC Employee Savings Plan	05/31/97	295489	8864	29050	0	497475	
ABC Employee Savings Plan	06/30/97	699771	20993	60120	0	246801	
ABC Employee Savings Plan	07/31/97	655149	19654	59260	0	177614	
ABC Employee Savings Plan	08/31/97	629704	18891	59320	7845	205554	
ABC Employee Savings Plan	09/30/97	610707	18321	57713	0	199107	
ABC Employee Savings Plan	10/31/97	551686	16550	57406	0	286311	
ABC Employee Savings Plan	11/30/97	556652	16699	57164	6598	193552	
ABC Employee Savings Plan	12/31/97	209147	6274	24961	0	318327	
ABC Employee Savings Plan	01/31/98	203281	6098	25512	0	94566	
ABC Employee Savings Plan	02/28/98	483171	14495	23609	35650	0	-120222
ABC Employee Savings Plan	03/31/98	272615	8178	25535	0	0	-149469
ABC Employee Savings Plan	04/30/98	249913	7497	22625	0	0	-63780
ABC Employee Savings Plan	05/31/98	252973	7589	142119	0	0	-179322
ABC Employee Savings Plan	06/30/98	388695	11680	21671	0	0	-73021
ABC Employee Savings Plan	07/31/98	246378	7391	22426	0	102494	
ABC Employee Savings Plan	08/31/98	233458	7003	24004	0	0	-69902
ABC Employee Savings Plan	09/30/98	224362	6730	0	0	0	-11017
ABC Employee Savings Plan	10/31/98	256366	7630	0	0	0	-21939
ABC Employee Savings Plan	11/30/98	198115	5943	0	4578	209114	
ABC Employee Savings Plan	12/31/98	180601	5418	0	0	0	-191549

FIG. 42

820

Update Table (Screen 4 of 5)

Print Log Update Actual Data Previous Screen Field Help Help Create Import Log

824 832 834 0% 828 830

Planned import: C:\Proj\TRACE\Data\ABC Cashflow.txt into: Cashflow on: 02/26/99

Action	Plan_name	Date	EE_Contrib	ER_Contrib	Transfer
Replace	ABC Employee Savings Plan	03/31/92	686730	9389	5
Replace	ABC Employee Savings Plan	04/30/92	544794	16343	4
Replace	ABC Employee Savings Plan	05/31/92	531950	15958	4
Replace	ABC Employee Savings Plan	06/30/92	640595	19217	5
Replace	ABC Employee Savings Plan	07/31/92	611314	18339	4
Replace	ABC Employee Savings Plan	08/31/92	553604	16608	5
Replace	ABC Employee Savings Plan	09/30/92	529075	15872	4
Replace	ABC Employee Savings Plan	10/31/92	490867	14726	4
Replace	ABC Employee Savings Plan	11/30/92	497023	14910	4
Replace	ABC Employee Savings Plan	12/31/92	502037	15061	5
Replace	ABC Employee Savings Plan	01/31/93	510517	15315	5
Replace	ABC Employee Savings Plan	02/28/93	521282	15638	5
Replace	ABC Employee Savings Plan	03/31/93	567652	17029	5
Replace	ABC Employee Savings Plan	04/30/93	557215	16716	5
Replace	ABC Employee Savings Plan	05/31/93	573031	17190	5
Replace	ABC Employee Savings Plan	06/30/93	619200	18576	5
Replace	ABC Employee Savings Plan	07/31/93	595057	17851	5
Replace	ABC Employee Savings Plan	08/31/93	622383	18671	5
Replace	ABC Employee Savings Plan	09/30/93	704554	21136	5
Replace	ABC Employee Savings Plan	10/31/93	548755	16462	5
Replace	ABC Employee Savings Plan	11/30/93	665940	19978	5
Replace	ABC Employee Savings Plan	12/31/93	524336	15730	5
Replace	ABC Employee Savings Plan	01/31/94	501847	15055	5
Replace	ABC Employee Savings Plan	02/28/94	969449	29083	5
Replace	ABC Employee Savings Plan	03/31/94	590626	17718	5
Replace	ABC Employee Savings Plan	04/30/94	575424	17262	5
Replace	ABC Employee Savings Plan	05/31/94	597629	17928	5
Replace	ABC Employee Savings Plan	06/30/94	532835	15985	5
Replace	ABC Employee Savings Plan	07/31/94	553531	16605	5

FIG. 43

View Final Table (Screen 5 of 5)

844

Previous Screen

Exit Import System

Field Help

Help

Verify Database...

Plan_name	Date	EE_Contrib	ER_Contrib	Transfers_In	Transfers_Out	Net_Loans	Disburse
ABC Employee Savings Plan	03/31/92	686730	9889	54847	0	0	-28
ABC Employee Savings Plan	04/30/92	544794	16343	47948	0	45756	
ABC Employee Savings Plan	05/31/92	531950	15958	47344	5129	0	
ABC Employee Savings Plan	06/30/92	640595	19217	50630	0	0	-21
ABC Employee Savings Plan	07/31/92	611314	18339	47765	0	0	
ABC Employee Savings Plan	08/31/92	553604	16608	52025	10985	31546	
ABC Employee Savings Plan	09/30/92	529075	15872	49649	0	106716	
ABC Employee Savings Plan	10/31/92	490867	14726	47046	0	101072	
ABC Employee Savings Plan	11/30/92	497023	14910	49061	45000	192961	
ABC Employee Savings Plan	12/31/92	502037	15061	50382	0	74350	
ABC Employee Savings Plan	01/31/93	510517	15315	51791	0	342576	
ABC Employee Savings Plan	02/28/93	521282	15638	52882	35980	100633	
ABC Employee Savings Plan	03/31/93	567652	17029	55363	0	176163	
ABC Employee Savings Plan	04/30/93	557215	16716	54555	0	355970	
ABC Employee Savings Plan	05/31/93	573031	17190	51075	5922	64539	
ABC Employee Savings Plan	06/30/93	619200	18576	55895	0	120846	
ABC Employee Savings Plan	07/31/93	595057	17851	56944	0	93889	
ABC Employee Savings Plan	08/31/93	622383	18671	56842	9874	0	
ABC Employee Savings Plan	09/30/93	704554	21136	53799	0	113876	
ABC Employee Savings Plan	10/31/93	548755	16462	55589	0	0	

FIG. 44

[illegible]

```

graph TD
    870{IMPORT SPECIFICATION AVAILABLE?} -- YES --> 872[RETRIEVE SAVED IMPORT SPECIFICATION]
    870 -- NO --> 876[SELECT IMPORT FILE TO BE IMPORTED]
    876 --> 878[ENTER FILE SPECIFICATION]
    878 --> 880[VERIFY ACCURACY OF FILE SPECIFICATIONS]
    880 --> 882[IDENTIFY CORRESPONDING IMPORT FIELD ITEMS AND SYSTEM FIELD ITEMS]
    882 --> 884[ELECTRONICALLY MAP EACH CORRESPONDING IMPORT FIELD ITEMS WITH ITS IDENTIFIED CORRESPONDING SYSTEM FIELD ITEMS TO DESIGNATE SYSTEM FIELD ITEMS FOR THE DATA ASSOCIATED WITH THE IMPORT FILE FIELD NAME]
    884 --> 874[EXECUTE IMPORTATION OF DATA FROM IDENTIFIED IMPORT FIELD TO SYSTEM FIELD]
    872 --> 874
  
```

•

Trace Export

Trace Field Name

Plan_name
Date
Portfolio_returns
Monthly_returns
Annual_returns
WAM
Education
Mduration
MoodysRating
SandPRating
ReturnsMemo

Text File Specifications

First Row is Field Names ☒ Separator ☒
Quote Fields with " ☒ Leave separator blank for tabs ☒

Export file name
Returns.txt

Select Export File Name
View Selected File
Load Export Specification
Save Export Specification
Export
Field Help
Return to Menu
Help

Assets Cashflow CFMemo Company Contract FundOpt Plan PlanCh PortRet

Version: 4.0

FIG. 46

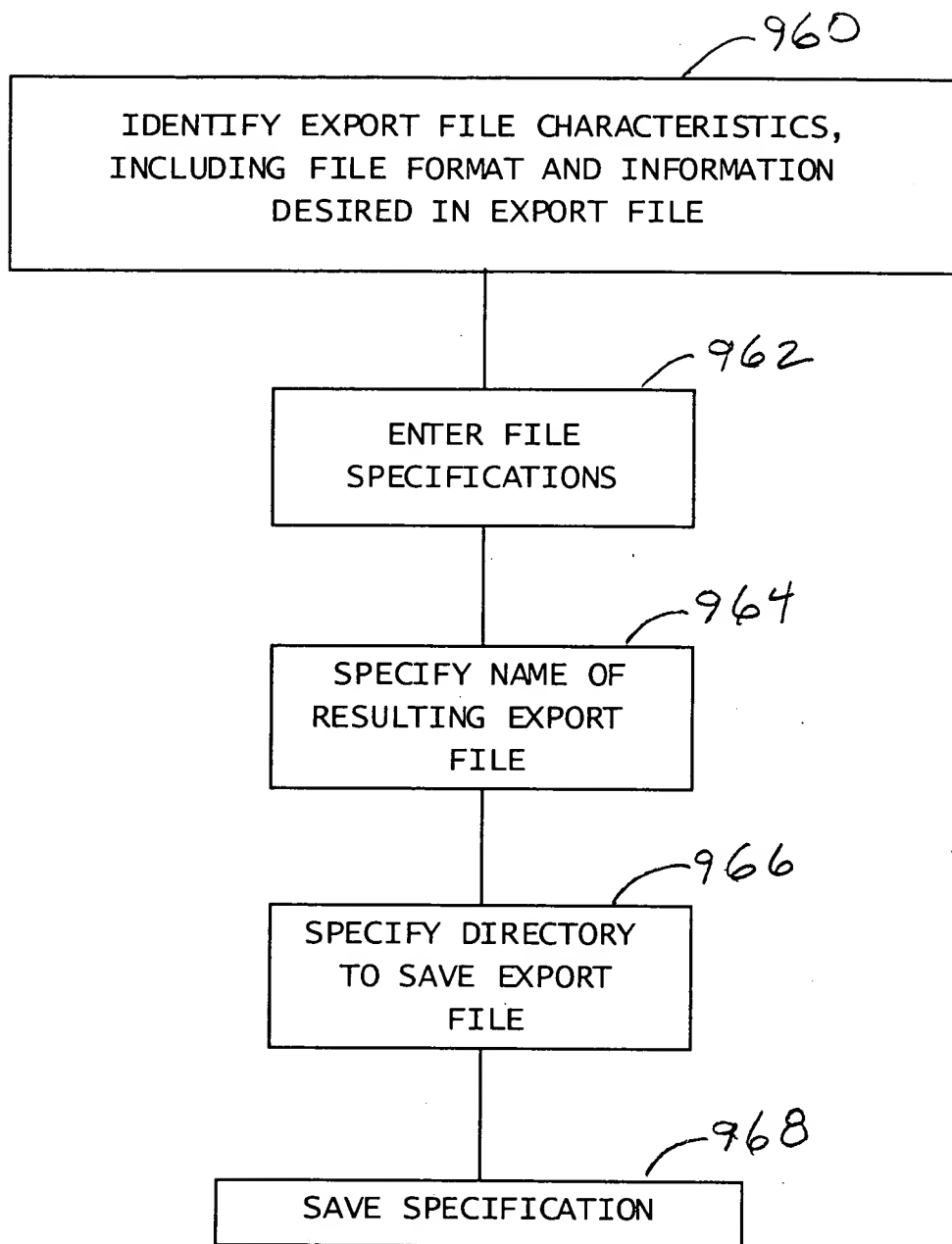


FIG. 47

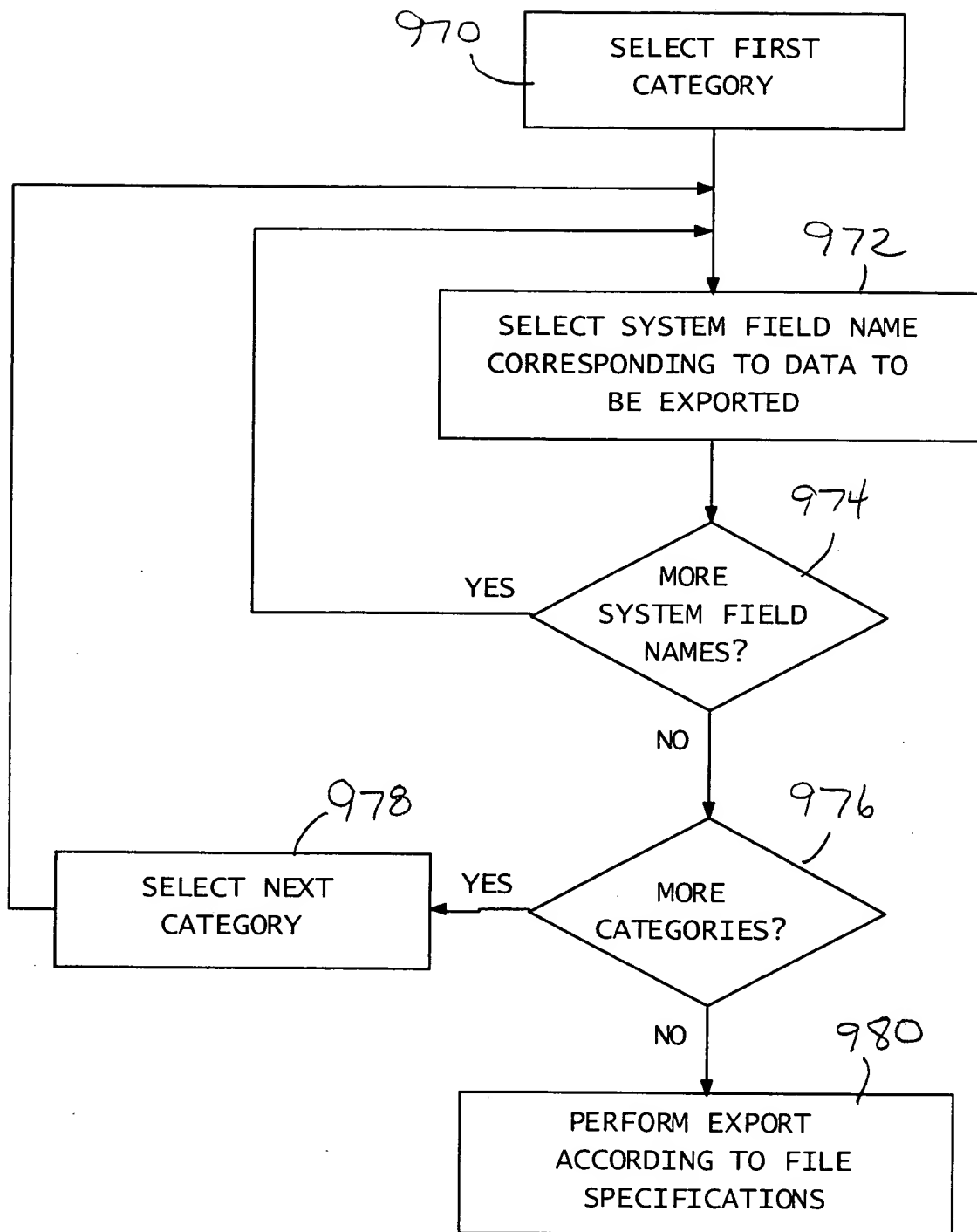


FIG. 48

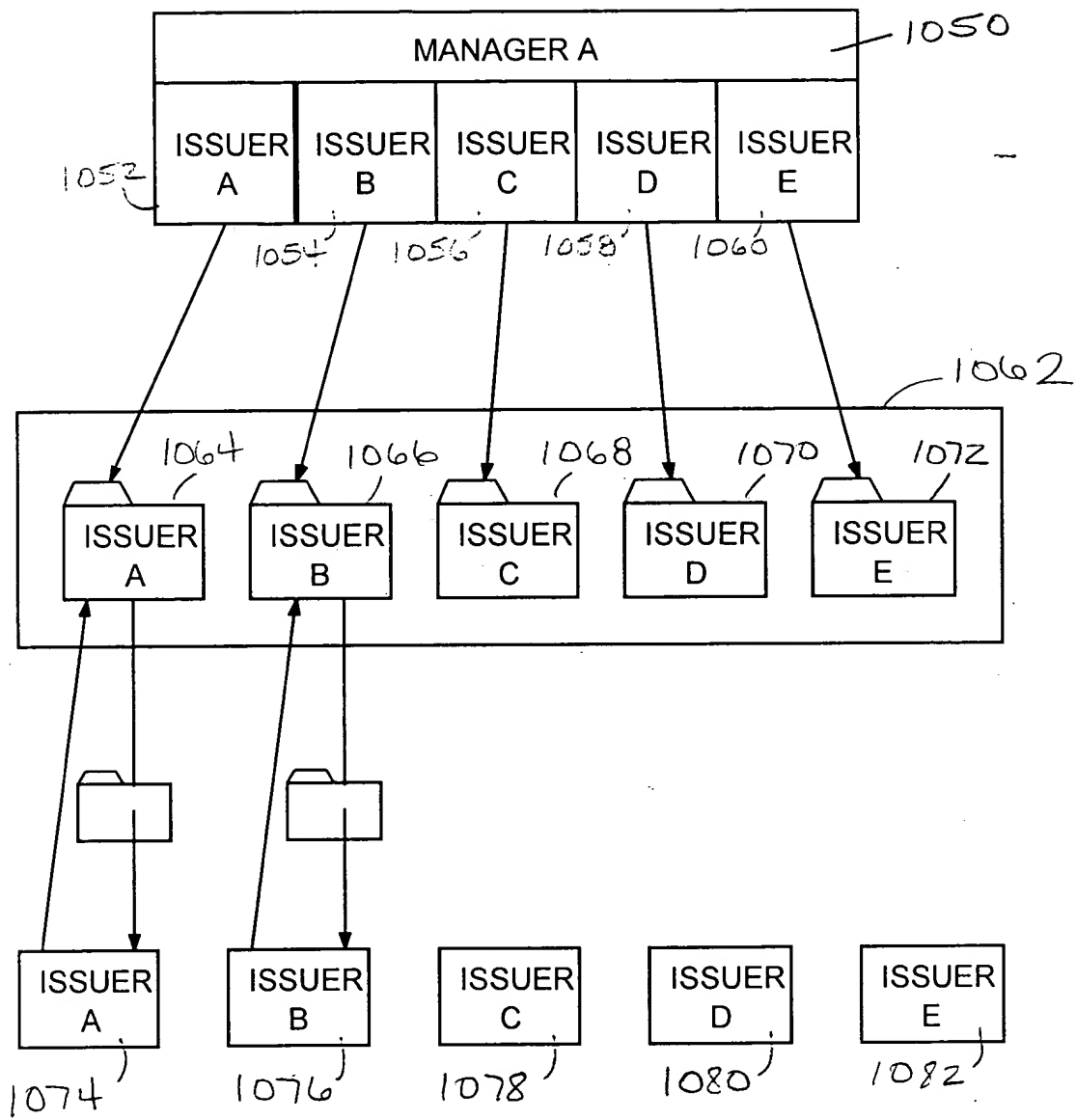


FIG. 50

104 →

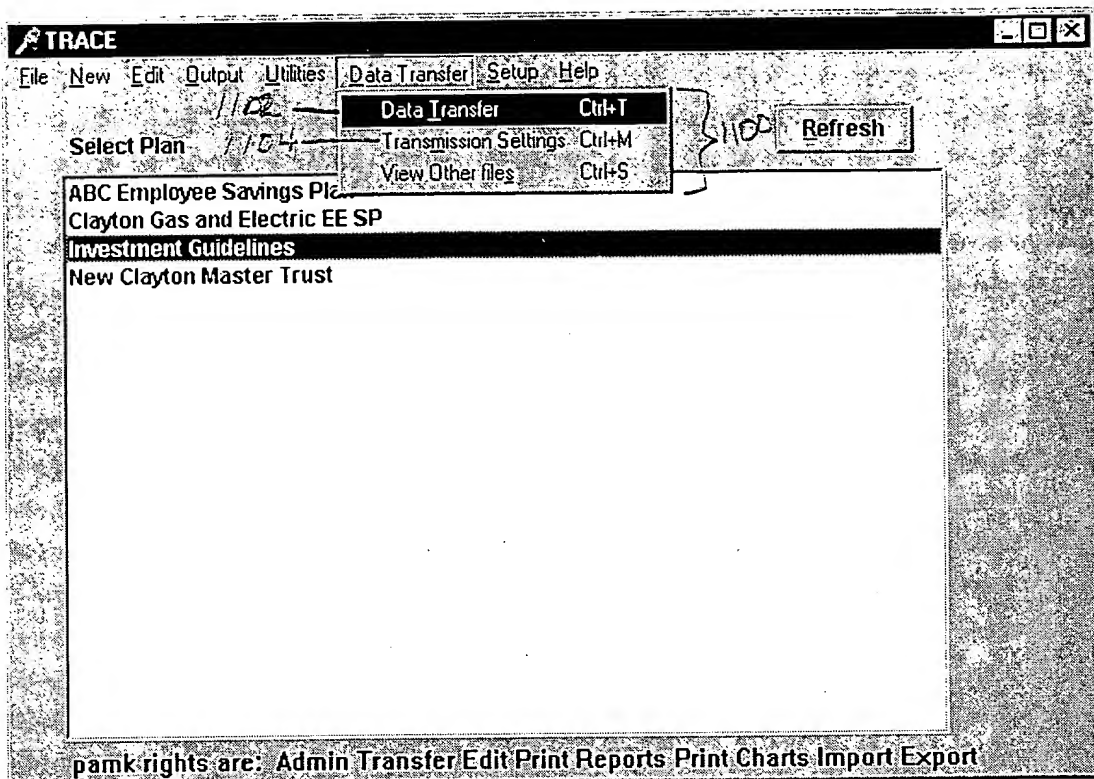


FIG. 51

1120

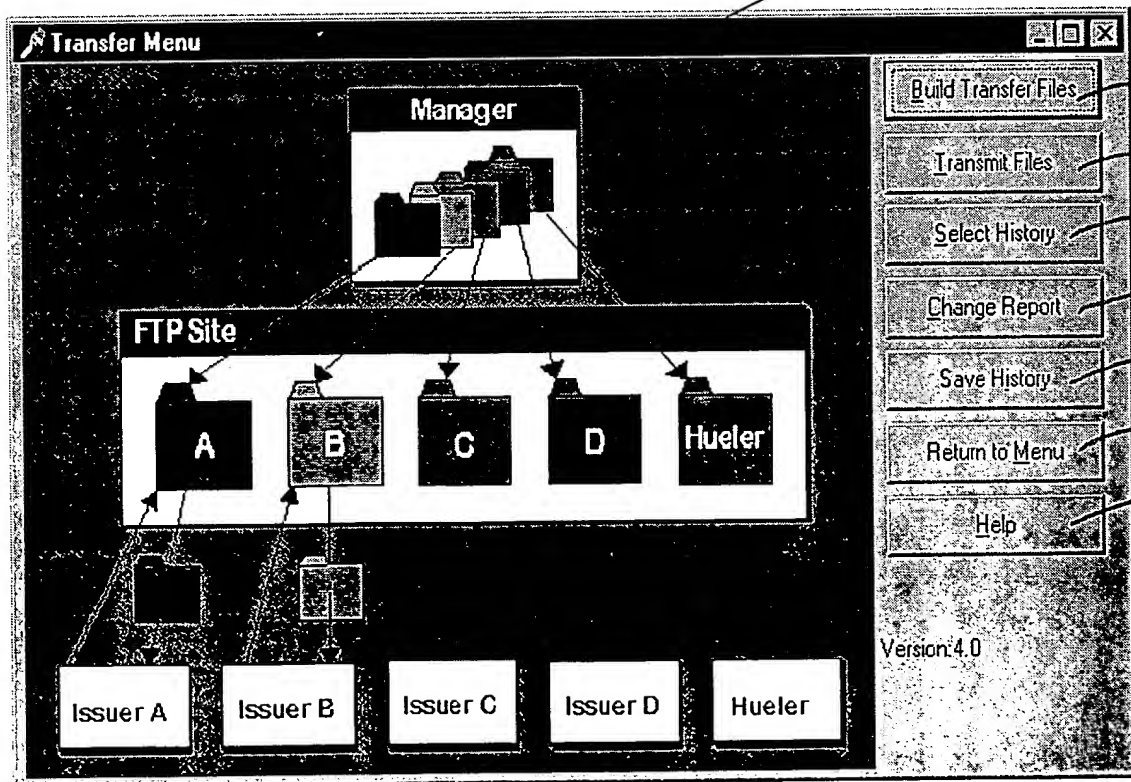


FIG. 52

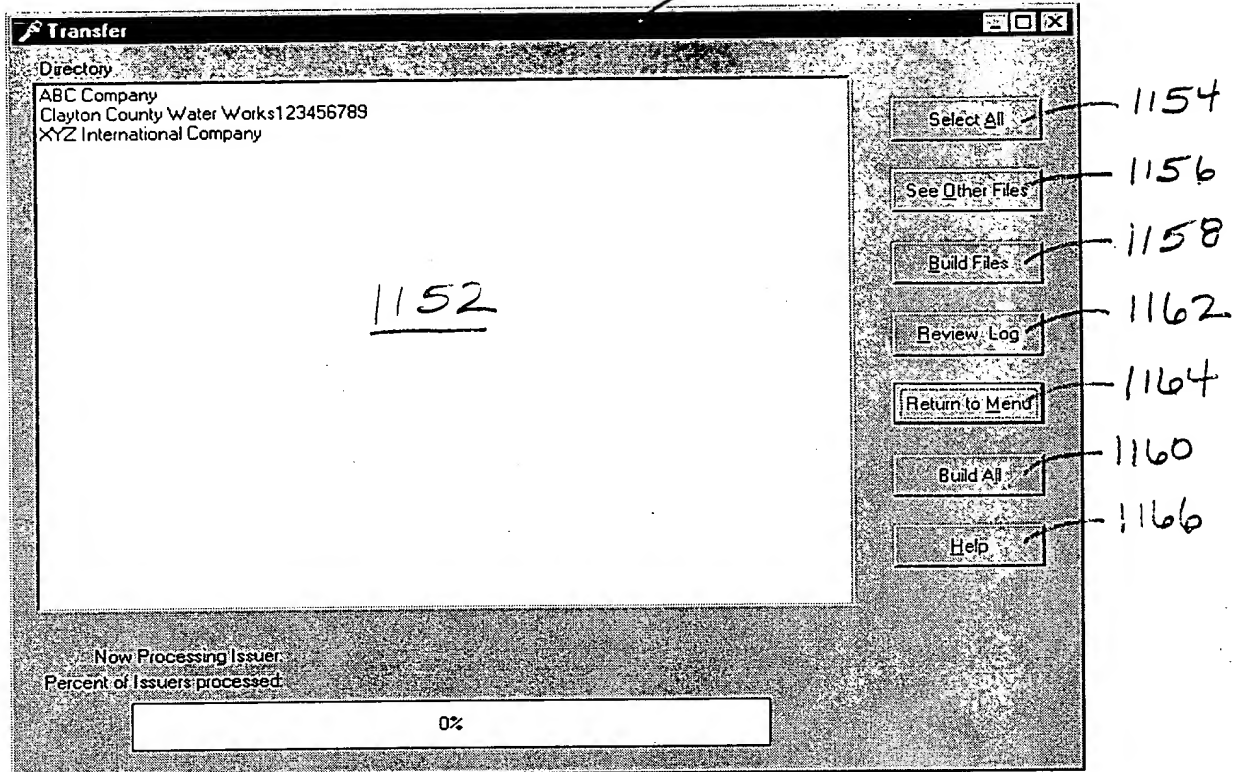


FIG. 53

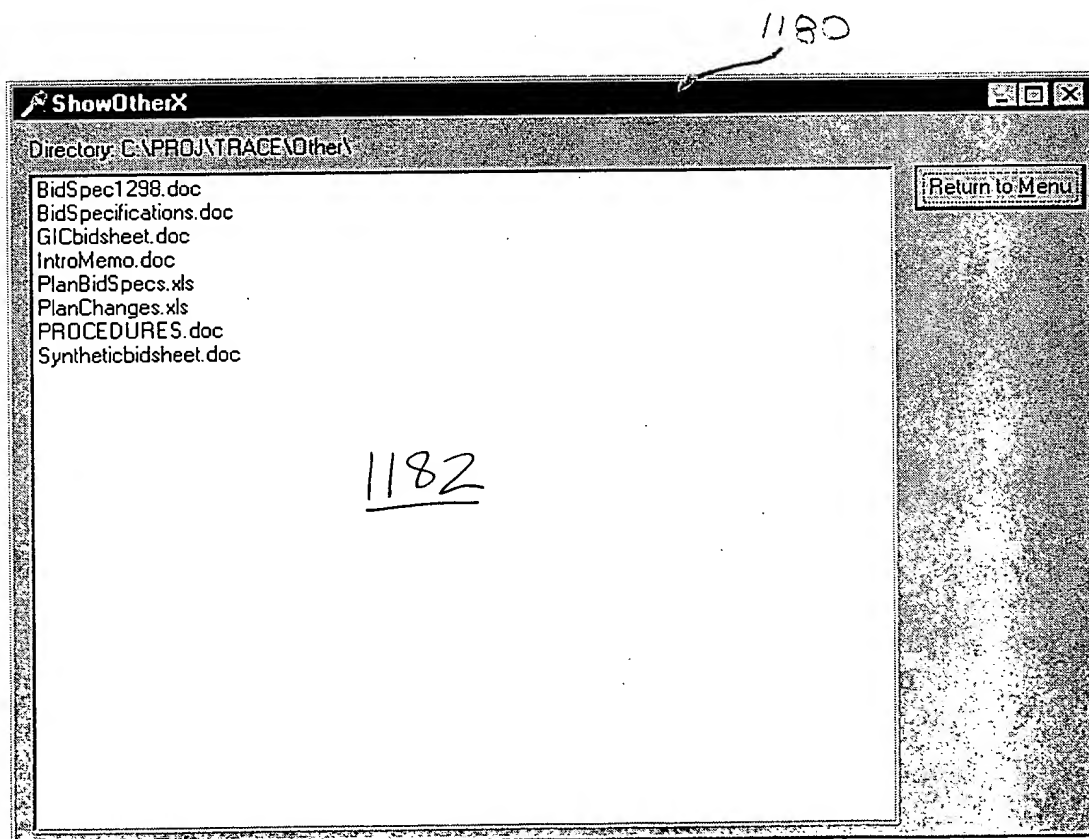


FIG. 54

A screenshot of a Windows 95 desktop environment. A window titled "Viewer" is open, displaying a text file. The text file contains a log of file additions and session information. The log starts with "02/22/1999 8:57:18 AM Morgan Bank added:02/22/1999 8:57:06 AM" and continues with a list of files added on "02/23/99 8:33:27 AM", including "1asset.xls", "ABCEMPLOYEESAVINGSPLAN.XLS", "BLUECHIPCOMPANY.XLS", "CLAYTONGASANDELECTRICEESP.XLS", "NEWCLAYTONMASTERTRUSTRENAME.XLS", "TESTPLAN.XLS", "ABCEMPLOYEESAVINGSPLAN.DOC", and several "Other\BidSpec" files. The log ends with "02/23/99 8:33:44 AM Morgan Bank added:02/23/99 8:33:30 AM". A handwritten number "1192" is written in the right margin of the text area. The window has a standard Windows 95 interface with a menu bar and a taskbar at the bottom.

The screenshot shows a Transmit window with a file list and a sidebar on the right. The file list has columns for 'Issuer', 'Create Date', 'Create Time', 'File Size', and 'File Name'. The files are being transferred from a local drive (c:) to a remote FTP server. The sidebar on the right contains buttons for 'FTP Software', 'OR', 'Destination Drive', 'Copy to disk', 'Return to Menu', and 'Help'. At the bottom, there is a progress bar and a label 'Percent of Files copied'.

Issuer	Create Date	Create Time	File Size	File Name
Huelser Companies	12/21/98	12:57	156288	22-1000_199812211138.trn
Huelser Companies	11/24/98	10:06	101504	22-1000_199811241006.trn
Huelser Companies	12/21/98	10:34	202496	22-1000_199812210853.trn
Huelser Companies	12/21/98	10:34	177872	22-1000_199812210906.trn
Huelser Companies	12/21/98	12:57	135512	22-1000_199812211029.trn
Huelser Companies	12/21/98	12:57	156312	22-1000_199812211030.trn
Huelser Companies	01/04/99	08:23	261208	22-1000_199811161547.trn
Huelser Companies	12/21/98	12:57	133008	22-1000_199812211143.trn
Huelser Companies	01/19/99	11:19	120936	22-1000_199901190917.trn

1202

Percent of Files copied

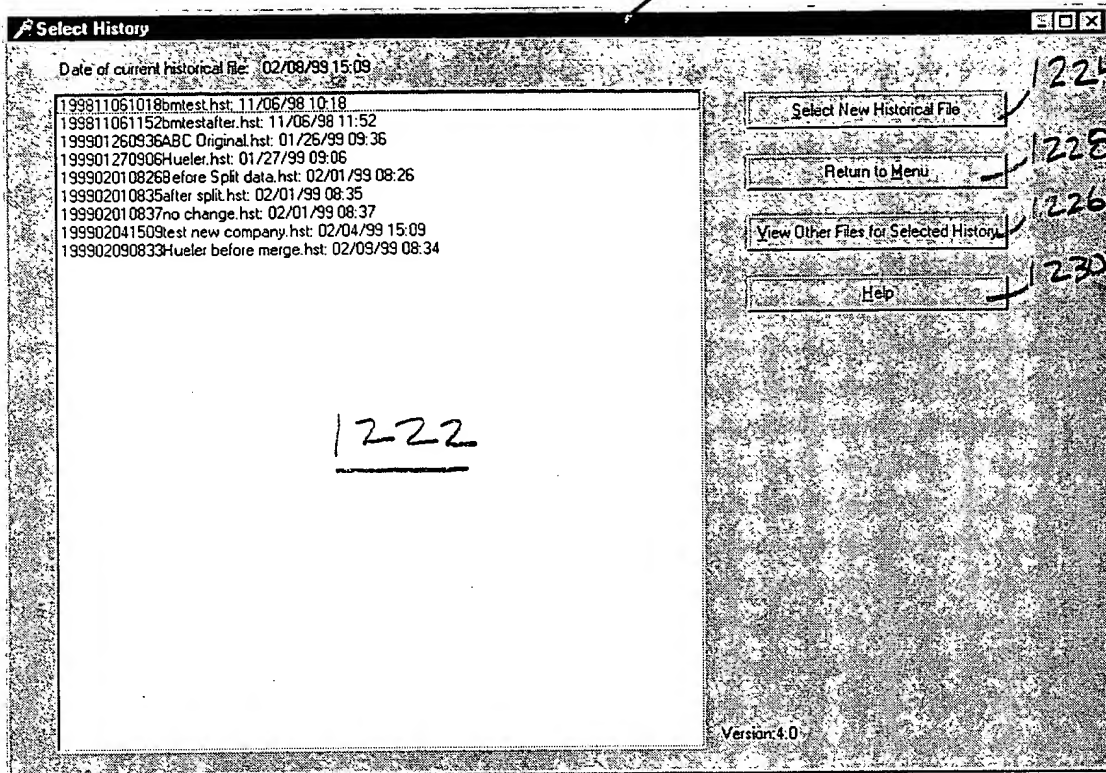


FIG. 57

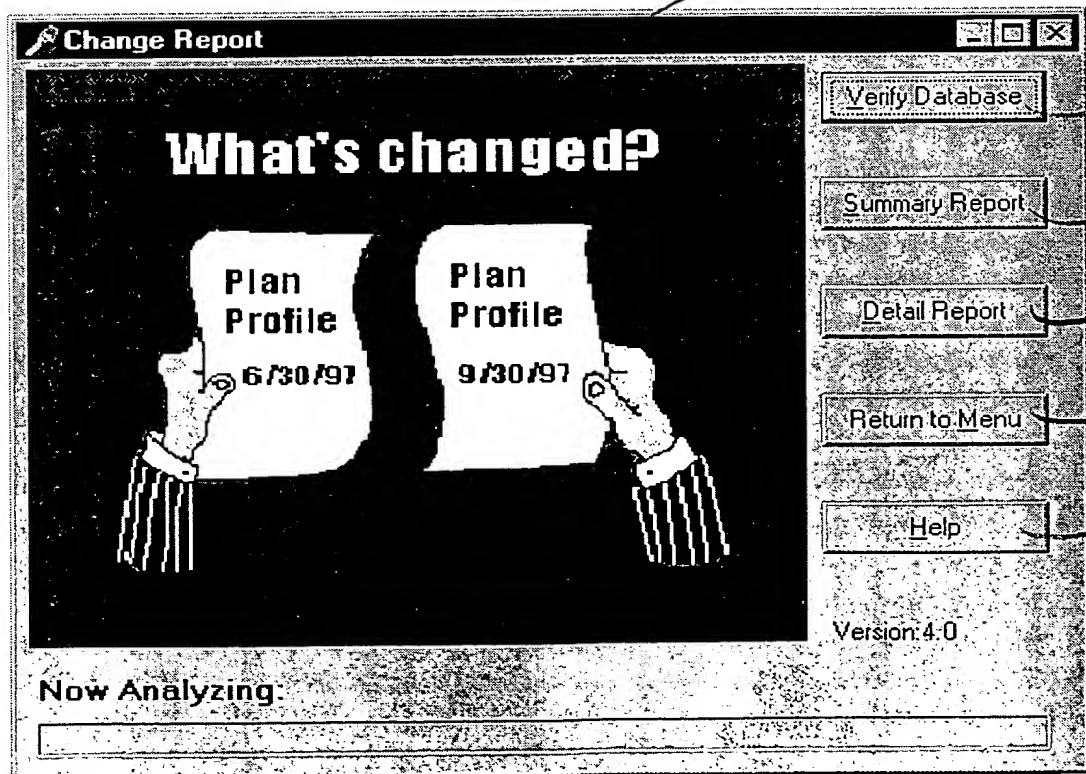


FIG. 58

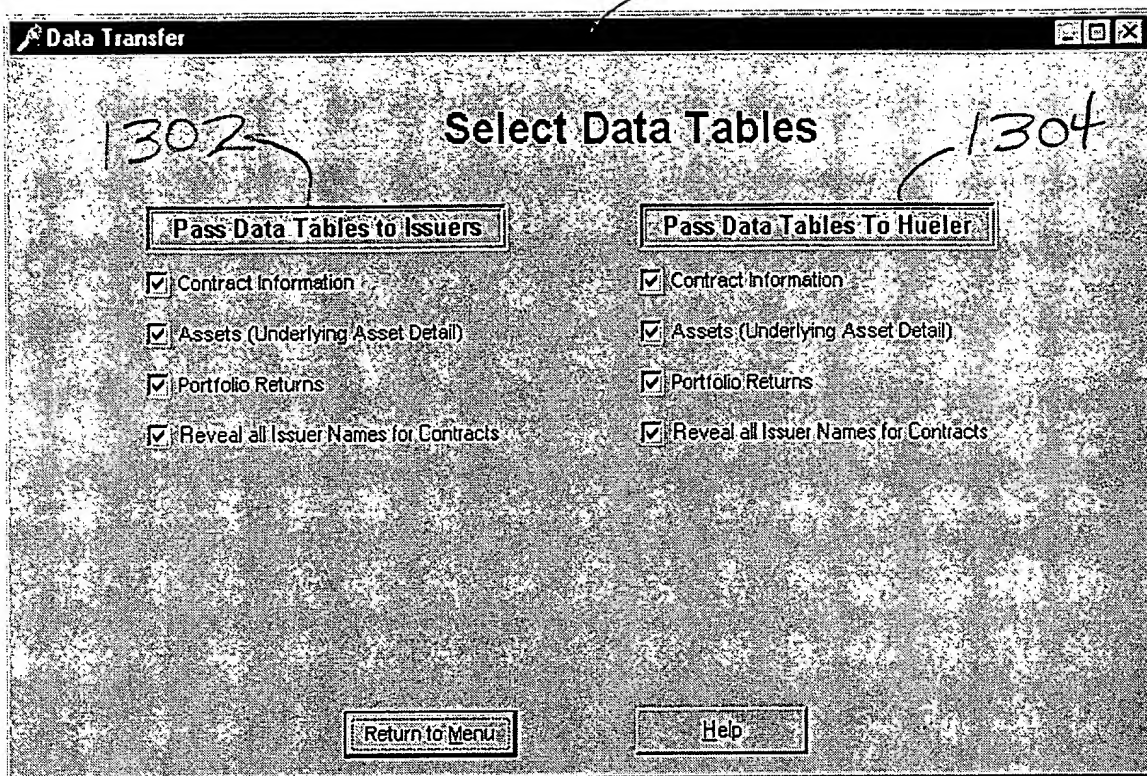


FIG. 59

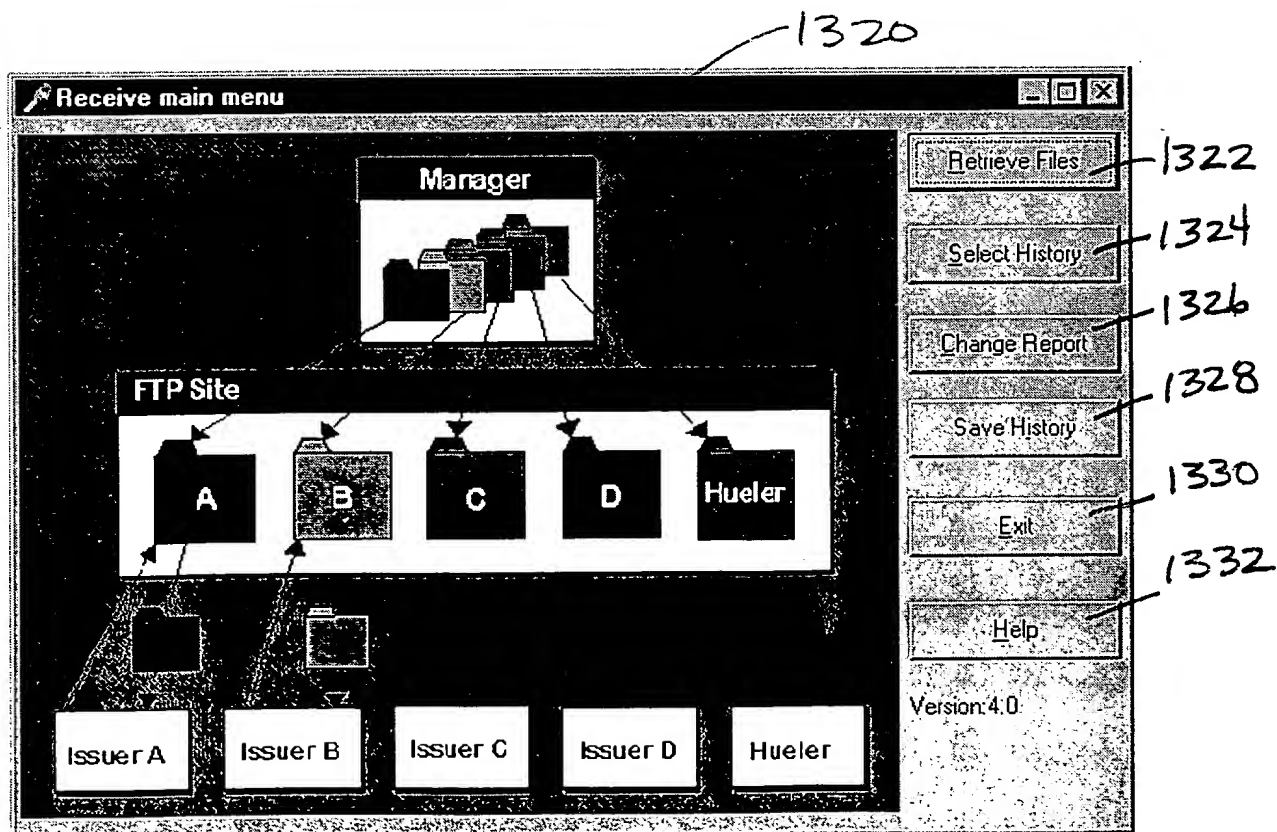


FIG. 60

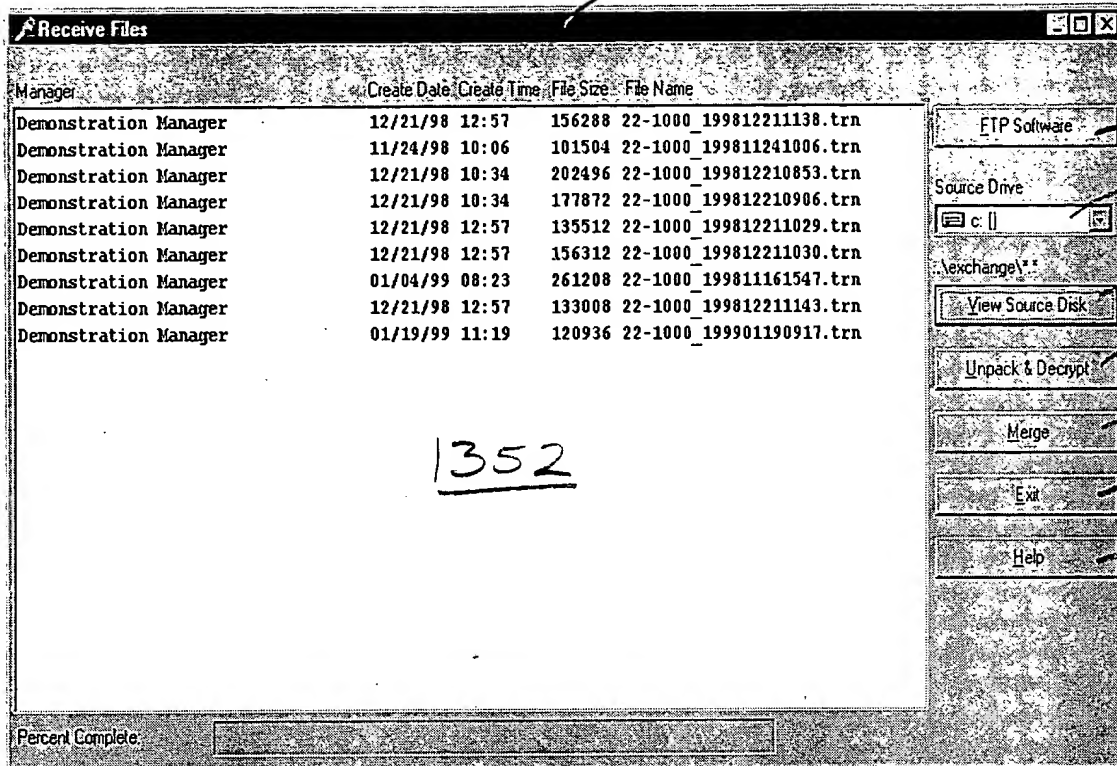


FIG. 61

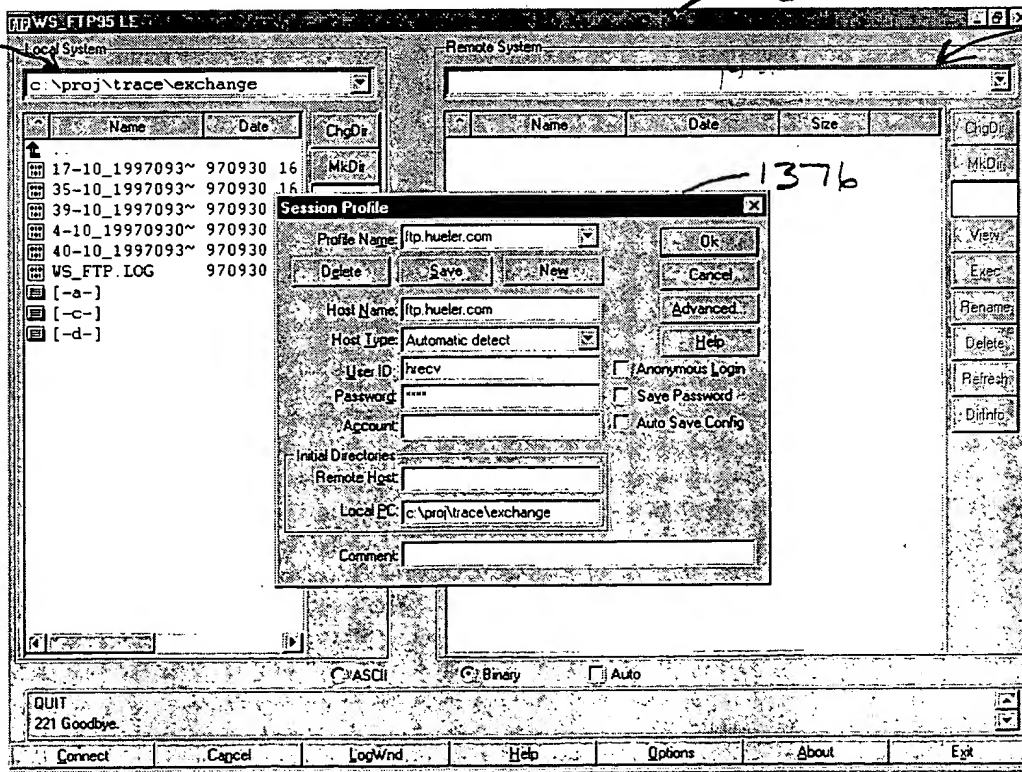


FIG. 62

0000005200560

104 →

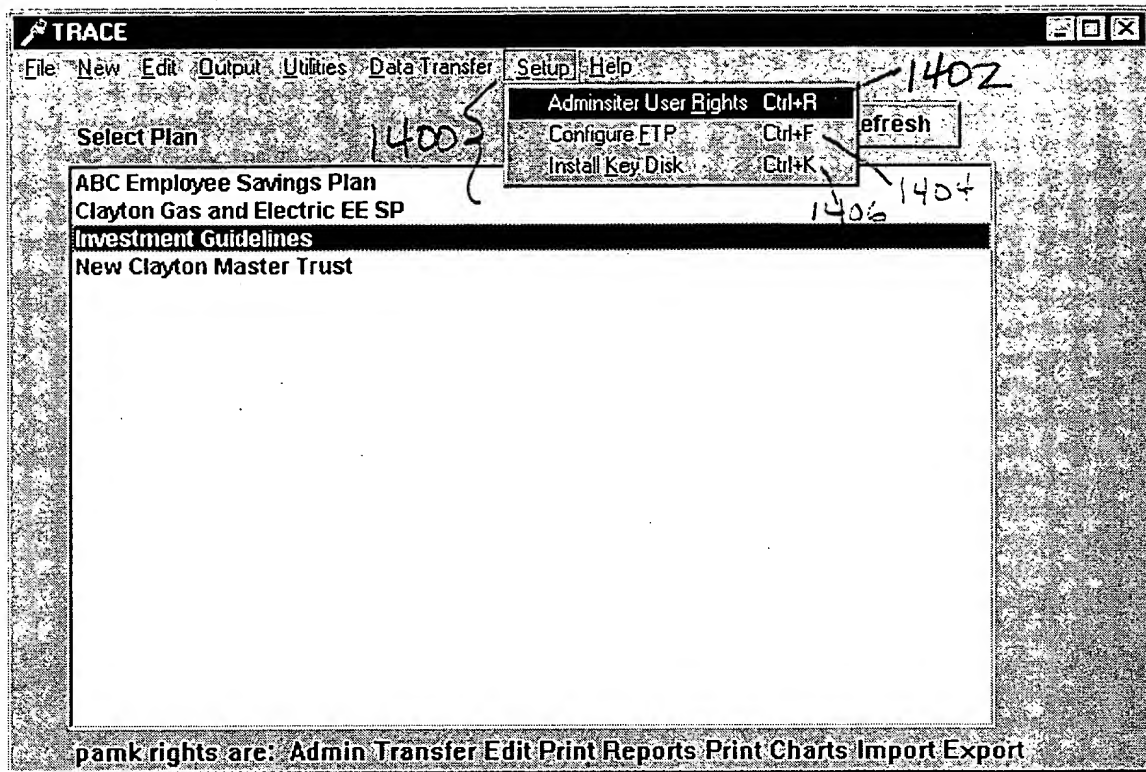


FIG. 63

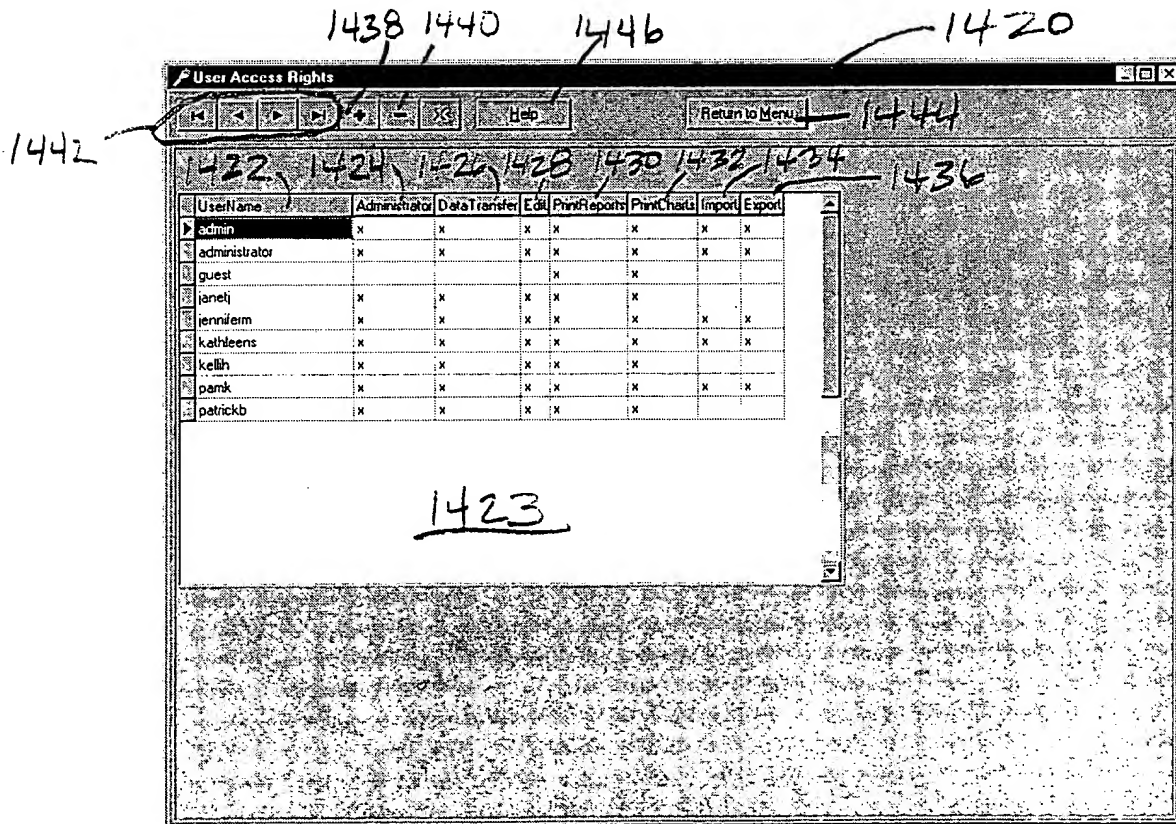


FIG. 64

The screenshot shows the 'FTP Configuration' dialog box with the following fields and values:

- FTP Port:** 21 (Handwritten: 1482)
- FTP User Name:** hueleguest (Handwritten: 1484)
- FTP Password:** xxxxxx (Handwritten: 1486)
- Ftp Site:** ftp.hueler.com (Handwritten: 1488)
- Directory with FTP program:** C:\Program Files\WS_FTP (Handwritten: 1490)
- FTP program command:** WS_FTP95.exe (Handwritten: 1492)

At the bottom, there are two buttons: 'Return to Menu' (Handwritten: 1494) and 'Help' (Handwritten: 1496).

